

**Re-building  
Prestige in  
Research:  
Organizational  
Case Study of  
Makerere  
University**

**Final Case  
Study Report**

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## Executive Summary

### Background

IDRC's Evaluation Unit (EU) is conducting a strategic evaluation to investigate the Centre's contributions to the development of capacities of those with whom the Centre works. The evaluation aims to provide IDRC's own staff and managers with an intellectual framework and a useful common language to help harness the concept and document the experiences and results that the Centre has accumulated in this domain. Specifically, it focuses on the processes and results of IDRC support for the development of capacities of its southern partners – what, whose, and how capacities have been enhanced, and how effectively.

Phase 4 of the strategic evaluation focuses on the development of six **organizational case studies** that are envisaged to better ground the findings from Phases 1 to 3 of specific, in-depth experiences. This document is the case study report on IDRC's collaboration since 1996 with Makerere University in Kampala, Uganda.

### Methodology

Charles Lusthaus and Anette Wenderoth (Principal Investigators), and Miranda Cobb (Research Assistant), all from Universalia, carried out the case study. IDRC approved a detailed methodology, developed by the study team.

The study included a population of 22 IDRC supported projects at Makerere, all of which had commenced between 1996 and 2006. Key sources of data were people, documents/files, and site visits. Main methods of data collection were document and file review, interviews, and site visits to Kampala and Nairobi. Validity of data was ensured through data triangulation (using convergence of multiple data sources).

One limitation in the study process was that available project documents and files provided information on only a small part of the actual capacity development objectives and results of the IDRC/Makerere collaboration. The study therefore had to rely largely on information gathered in interviews. Another limitation was that five of the fifteen principal researchers involved in the reviewed projects were unavailable for consultations. A limitation for the study report was the absence of an implicitly or explicitly formalized institutional relationship between IDRC and Makerere. This made it difficult to compile and share a coherent and evolving 'story' of the IDRC/Makerere collaboration as had originally been intended.

### Context

Established as Makerere Technical School in 1922, Makerere University is the oldest institution of higher education in Uganda. During its history, the University has experienced multiple changes – from its ‘golden age’ in the late 1960s, through the political turmoil of the 1970s and 80s, to a phase of recovery and change beginning in the 1990s and continuing to date. While still considered a Public University, Makerere has, since 1992, developed into a ‘hybrid’ institution with public and private funding. Makerere is regarded as Uganda’s most prestigious university and as the country’s main centre for academic research; it is increasingly facing competition for students from newly established, often private universities in Uganda.

The environment for ‘research for development’ in Uganda is still young and emerging. A number of recent changes occurring at Makerere and in Uganda give reason for hope that the environment may become increasingly conducive, including the government’s growing realization of the potential leadership role of academic research for solving development problems, and the University’s commitment to relevant and applied research.

Despite considerable rhetorical support for research, individuals and teams at Makerere face a difficult environment with concrete obstacles including large classes and increased teaching/marking loads, poor salaries, lack of research funding, and a lack of required infrastructure. At the same time, they are facing an increasing pressure to conduct research and publish.

For the analysis of institutional characteristics of Makerere as a University, the concept of ‘**loose coupling**’ can be helpful: it describes a situation in which system elements (e.g. parts of an organization) are responsive to each other, but at the same time retain evidence of separateness and identity. At universities – including at Makerere – research tends to be among the loosely coupled functions of the organization. This has a number of implications in the context of this case study as it affects how change processes within the organization take place, and the extent to which they can be planned and predicted. The concept is also relevant in view of suitable strategies for supporting research capacity development in a loosely coupled environment.

For a University to have **research capacity** implies a number of core (organizational) abilities. In this study, we propose a distinction between abilities of the *people* who conduct research (e.g. their knowledge, skills, experience, motivation), and capacities constituted by the *enabling conditions* within an organization that have to be in place in order to allow researchers to apply their abilities (e.g. appropriate infrastructure, an institutional research mandate). This distinction is relevant as ‘enabling conditions’ are more likely to fall into *tightly coupled* and thus more linear parts of organizational functioning than are ‘people abilities’. Effective strategies for

strengthening these two aspects of research capacities tend to differ considerably from each other.

### **Intentions of the IDRC/Makerere Collaboration**

The relationship between MU and IDRC has been and is constituted through a **collage of different relationships** between individual researchers or teams at Makerere and a variety of IDRC staff. Up until now, the collaboration between IDRC and Makerere has not been formalized in an explicit or implicit agreement between the two institutions that would state overall intentions of their relationships. This individualized relationship is made possible and is fostered by the loosely coupled nature of Makerere's research function.

At their core, relationships between IDRC and researchers at Makerere are based on a (at least assumed) common **interest in different development problems** as addressed through one of IDRC's programs and a related funding initiative. The objectives and foci of the respective IDRC programs/initiatives tend to be broadly defined, thus allowing considerable space for developing locally relevant research projects.

For most researchers at Makerere the key intention for entering a relationship with IDRC in the first place is the possibility to **access funding** for research. The wish to engage in research was based on a variety of underlying reasons, ranging from the hope to contribute to knowledge generation relevant to solving development problems to simply enjoying undertaking research.

IDRC officers and researchers at Makerere also stated that **enhancing research capacities** of researchers and/or their teams was an important underlying intention of research projects. In many cases however, these intentions remained **implicit** and were neither captured in project documents nor made explicit in discussions between IDRC and individual researchers. This may **limit** not only IDRC's ability to share and/or showcase positive effects of its work, but also opportunities for IDRC and its partners to systematically build on achieved results, and to monitor and reflect upon research capacity changes over time.

### **Capacity Development Interventions**

As the relationship between IDRC and Makerere is constituted by a set of individual relationships, so is IDRC's capacity building work. The Centre does not 'do' capacity building of Makerere University, but of **individual researchers and teams**, 'one person/team at a time'.

IDRC activities are guided by the underlying principle to provide whatever feasible assistance the respective partner may require to do better research. Most of the interviewed IDRC officers regard capacity building as IDRC's core way of operating and see the process of

working with their partners at Makerere on research projects as *being* capacity building, not a *means* for capacity building.

There is no fixed procedure or set of activities that IDRC uses to support the capacity building of different partners. Instead, officers select the types of support they deem to be relevant and feasible in the respective situation. In supporting researchers, IDRC fulfills the roles of professional enabler, connector, as well as a trusted thematic advisor.

IDRC supports individual researchers not only as persons working on an individual project but as colleagues with the potential to contribute to knowledge generation and discussion on the respective research problem. Researchers are addressed and supported primarily in their capacity as contributors to *thematic* areas rather than in their role within the university. In this, IDRC's approach **differs from and complements** that of most other donor organizations supporting research at Makerere.

### Capacity Development Results

Project technical reports and other documents provide only limited information on what research capacity building results have been achieved through the IDRC/Makerere collaboration. Interviews with researchers, students, and IDRC staff provide richer data that illustrate a variety of positive effects on the research capacities of individuals and teams. As illustrated in this report, these positive changes included new and expanded knowledge and insights on research problems and methodologies including on trans-disciplinary work and on community involvement, increased exposure to and participation in professional networks, strengthened personal CVs and thus increased opportunities for promotion, and enhanced experiences in team and project management.

A considerable part of the capacity changes described by principal researchers has occurred as 'meta results' of the respective research projects. i.e. as effects resulting from the overall process of collaborating with IDRC on a project, and/or the mere fact that individuals had the opportunity to gain new experiences, contacts, and ideas by means of working on a research project.

To a very limited degree, IDRC supported projects have also had positive effects at the level of individual university departments and thus beyond the level of individuals, e.g. by providing selected equipment relevant for research. None of these effects at the department level were part of the stated project objectives, nor have they been captured in project documents or been otherwise made explicit.

The considerable degree of 'silent' and un-captured capacity development results (at individual and larger organizational levels) suggests that IDRC may miss out on opportunities for tracking the

successes of its research capacity building work, and for utilizing past achievements as the basis for planning and monitoring further capacity development work.

### **Strengths of the IDRC/Makerere Collaboration**

The case study report illustrates that IDRC's work with researchers at Makerere corresponds with the IDRC criteria for Good Practices contributing to capacity development. Some key elements characterizing IDRC's approach include:

*Relationships* - Personal exchange with IDRC officers who are knowledgeable and passionate about the respective area of research and who are connected within regional and international networks is among the most helpful aspects of the Centre's support.

*Flexibility* - IDRC officers understand that in most cases project plans have to be adjusted during implementation to meet the changing realities of the field. IDRC does not force a project to stick to plans that no longer make sense.

*Persistence* - The relationship between IDRC officers and individual researchers does not automatically finish once a research project is over but continues over time.

*Strategic Intelligence* - IDRC conducts extensive background research into the issues it addresses before inviting project proposals. Therefore, topic areas it suggests tend to be relevant to key development issues at regional and national levels.

*Building on existing capacities* - IDRC tends to work with highly qualified individuals at Makerere who have proven capacities in carrying out research. The collaboration builds on the existing thematic and methodological knowledge, skills, and experience. Another important characteristic of IDRC's work is that the Centre insists on using and thus building on the University's existing administrative structures and processes for financial management and auditing.

*Locally driven agenda* - IDRC officers are open to and respectful of the ideas of the researchers they support. They do not enforce a specific approach or methodology, but leave the 'how' of a project up to the respective research teams.

### **Challenges**

*Capturing results:* The collage nature of the IDRC- Makerere relationship(s) limits the Centre's ability to capture the nature and results of its overall support to Makerere University in a comprehensive way. It makes it difficult for IDRC to gain a comprehensive overview of what its work with Makerere has entailed over time; what results/effects at individual, and organizational levels it has contributed to; and what opportunities for future support may have arisen from (currently 'hidden') cumulative effects, or from untapped opportunities for cross-fertilization among

researchers and teams at the university. The fragmentation of IDRC's support has also contributed to a limited visibility of the Centre's support to Makerere beyond the individuals who have directly worked with IDRC.

*Partner selection:* For IDRC, the fact of having limited research funds available and thus having to select among possible grant recipients poses a number of practical and ethical issues. Selecting individuals based on *personal knowledge* of them and their work increases the likelihood of having a good understanding of their interests and their engagement in the research questions addressed. It also invites criticism, as it tends to exclude those who may not have the luck to be personally known to IDRC. Selecting grant recipients based on *competitive processes* may be more appealing in this respect, but eliminates the benefits arising from establishing longer-term relationships. IDRC is currently using both approaches for identifying grant recipients. Rather than choosing between them, the key task for the Centre may be to effectively manage stakeholder expectations and communicate clearly, how and why it uses which approach.

*Discussion and reflection on the concept of 'research capacity building':* Various stakeholders support the strengthening of research capacities at Makerere and/or in Uganda. While currently there is some exchange among different donor agencies, this is mostly limited to 'who is doing what' questions. There appears to be very little, if any, discussion and reflection about the underlying conceptualizations of research capacity and research capacity building that guide different approaches. This can limit opportunities for creating and capturing complementary effects, and for identifying potential yet currently untapped synergies between different approaches taken by different donors.

### Conclusions

One key challenge for this case study was the realization that it had set out to explore something that did not formally exist - namely a defined institutional relationship between IDRC and Makerere University. That such a relationship existed and that it could be described in terms of a coherent 'story' was one of the implicit assumptions underlying the concept of 'organizational case study'. This also meant that stating the *absence* of such a relationship might run the risk of being automatically understood as describing a fault or *weakness* of IDRC's relationship with Makerere.

This case study however strongly suggests that this is not the case. While it points out some areas for improvement, the study builds a case for the view that IDRC's current approach to working with Makerere makes sense given the Centre's institutional strengths, structure and resources, as well as the specific context of the university it works with. At the same time, the Centre is



comparatively less well positioned to engage in institutional development of the university at a large scale.

Reflections about potential areas for improvement of the IDRC/Makerere relationship focus on the question: How may the Centre be able to maximize the effects of its current (capacity building) work not only at the level of individual researchers and teams, but also at larger organizational levels? Suggestions include:

- i)** Making currently implicit intentions and results of research capacity building more explicit;
- ii)** Supporting and encouraging regular exchange among individuals and teams at Makerere;
- iii)** Encouraging researchers to explore linkages with existing (research) priorities and agendas of Makerere and/or specific departments; and,
- iv)** Exploring opportunities for more in depth exchange with other donors supporting Makerere to investigate potentials for synergies arising from complementary approaches to building research capacity.

## A c k n o w l e d g e m e n t

*This study would not have been possible without the help of the IDRC staff in Ottawa and the ESARO office in Nairobi who supported the study team in data collection, engaged in open discussion and reflection of IDRC's capacity building work, and also helped with the logistics of arranging the field visit. We are grateful to the researchers and students at Makerere University who generously shared their experiences and insights with the study team. Special thanks go to the grant coordination office at Makerere University, especially Esther Kihangire Asimwe and Peter Mubiru who were key to making our visit to Kampala successful and enjoyable.*

## A c r o n y m s

CB	Capacity Building
CD	Capacity Development
DAC	Development Assistance Committee
ENRM	Environment and Natural Resource Management
ESARO	(IDRC) Eastern and Southern Africa Regional Office
EU	Evaluation Unit
GEH	Governance, Equity and Health
ICT	Information and Communication Technologies
ICT4D	Information and Communication Technologies for Development
IDRC	International Development Research Centre
MU	Makerere University
NGO	Non Governmental Organization
NORAD	Norwegian Agency for Development Cooperation
OECD	Organization for Economic Co-operation and Development
OH	Overhead(s)
PADs	Project Approval Documents
PEAP	Poverty Eradication Action Plan
SAREC	SIDA Department for Research Cooperation
SEP	Social and Economic Policy
SIDA	Swedish International Development Cooperation Agency
TOR	Terms of Reference
UEA	University of East Africa
UPE	Universal Primary Education

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## 1. Introduction

### 1.1 Background

IDRC's Evaluation Unit (EU) is conducting a strategic evaluation to investigate the Centre's contributions to the development of capacities of those with whom the Centre works. The evaluation aims to provide IDRC's own staff and managers with an intellectual framework and a useful common language to help harness the concept and document the experiences and results that the Centre has accumulated in this domain. Specifically, the strategic evaluation focuses on the processes and results of IDRC support for the development of capacities of its southern partners - what, whose, and how capacities have been enhanced, and how effectively.

During the first three phases of this strategic evaluation, progress has been made in: (1) defining what IDRC means by 'building' or 'developing' capacities and in sharpening understanding of *how* IDRC supports capacities and with *whom*; (2) developing an initial set of typologies that will assist IDRC staff and partners in conceptualizing, planning, monitoring and evaluating capacity development; and, (3) elaborating a list of 'good practices' that captures some of the elements of IDRC's support that staff and partners view as being critical to building research organizations and systems.

Phase 4 of the strategic evaluation focuses on the development of six **organizational case studies**, which are envisaged to better ground the findings from Phases 1 to 3 of specific, in-depth experiences.

### 1.2 Case Study TORs

During the first phases of the strategic evaluation, IDRC's approach to capacity building was found to be instrumental or functional in nature and focused on tangibles such as professional competencies, capabilities, and the tools needed to conduct research. These skills included the ability to identify research problems, to design and implement projects, to monitor and evaluate, to achieve good financial management, to link with other researchers and with donors, to publicize results, and so on. For IDRC, therefore, capacity-building means working with partners to conduct better research in a specific field and that any change that occurs as a result of this capacity building is at the problem or research area level rather than at the institutional or systems level.

Yet, analysis undertaken so far indicates that IDRC partners are always connected to others within the research problématique or system. As such, capacity development at IDRC often takes a *systems approach*. In other words, it not only addresses the individual(s) directly involved in the project(s) or program, but also looks at how these individuals

are connected to others: other individuals, organizations, and/or networks.

It is clear that it is only through examining the dynamics and evolution of how all the involved parties and communities work together to solve the development challenge that we will better understand how IDRC supports *the capacity to do research-related activities*. In light of these findings, IDRC has a growing interest in understanding how its capacity support (through projects or other activities) at the individual level is able (or not able) to influence change within organizations or networks. The case studies, including this one, are thus aiming:

- To increase IDRC's ability to capture and track capacity changes in terms of the dynamics and interactions between individuals, organizations and networks; and,
- To enhance IDRC's understanding if and how it contributes to changes in the capacity to do research.

The full case study TORs are included in Appendix I.

This document is the final **case study report** on IDRC's collaboration since 1996 with **Makerere University** in Kampala, Uganda.

### 1.3 History of the IDRC/Makerere Collaboration

IDRC's partnership with Makerere goes back more than 30 years, starting in 1972, and commencing throughout the following decades until today.

While IDRC's engagement was somewhat reduced during the period of political turmoil in Uganda throughout the 1970s and 1980s, the partnership did commence and became increasingly intense after 1990<sup>1</sup> when Makerere entered a phase of recovery and reform. Since 1972, 49 IDRC supported research and research support projects with Makerere University have been initiated, cumulating to a total of \$7,070,986 of approved grant amounts.<sup>2</sup> In addition, researchers from Makerere have been involved in various regional network activities supported by IDRC, such as LOGIN, GRACENET, and RIA. In 1995, IDRC also provided a grant of \$21,500 for administrative support to the University.

### 1.4 Organization of the Report

The report is structured into eight chapters, and generally follows the organization of the study framework presented in Section 2.3:

- **Chapter 2** presents the case study methodology;

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<sup>1</sup> Two projects commenced during the 1970s, 11 during the 1980s, 19 during the 1990s, and 16 have started since 2000.

<sup>2</sup> At the time of writing, six projects are still active, one has been cancelled, and the remaining 42 have been closed.



- **Chapter 3** explores key aspects of the broader context of the study including reflections on Makerere University's history and universities as specific types of institutions;
- **Chapter 4** summarizes findings on the specific research for development context at Makerere;
- **Chapter 5** focuses on the intentions of the IDRC-Makerere collaboration;
- **Chapter 6** explores IDRC's approach to research capacity building and related results; and,
- **Chapter 7** summarizes key strengths of IDRC's current approach to capacity building at Makerere, as well as some key challenges affecting the collaboration.
- **Chapter 8** summarizes key conclusions of the study, and outlines some potential areas for improving the IDRC/Makerere collaboration in the future.

## 2. Case Study Methodology

### 2.1 Study Team

Charles Lusthaus and Anette Wenderoth (Principal Investigators), and Miranda Cobb (Research Assistant), all from Universalis, carried out the case study.

### 2.2 Data Sources and Methods of Data Collection

Key sources of data were people, documents/files, and site visits. Main methods of data collection were:

- **Document and file review:** The study team reviewed relevant and/or available documents related to the 22 projects included in the case study (see Section 2.4), mostly Project Approval Documents (PADs), and project technical reports. A list of reviewed documents is included as Appendix II.
- **Interviews:** Face-to-face and phone interviews (individual and group) as well as email consultations were conducted with a total of 51 individuals in Ottawa, Kampala, and Nairobi. In addition, a focus group meeting was held with the team of the IDRC ESARO office in Nairobi. A list of consulted stakeholders is included as Appendix III. Interviews were guided by semi-structured protocols that were aligned with the study framework (see Section 2.3). Interview protocols are included as Appendix IV.<sup>3</sup>
- **Site visits:** From September 23 to October 2, 2007, two members of the study team visited Makerere University in Kampala and the IDRC ESARO office in Nairobi.

### 2.3 Study Framework

As outlined in the TORs for the assignment, the case study was arranged along five main thematic clusters. Exhibit 2.1 outlines these five clusters as well as the related lead questions guiding the case study. A more detailed version of the study framework including sub-questions for each area is included as Appendix V.

**Exhibit 2.1 Study Framework**

THEMATIC CLUSTER	LEAD QUESTIONS
1. Research for development context /environment	How has/does the overall legal, political, social/cultural, and economic environment influence Makerere University's ability to engage in research for development?  What have been the factors that have most inhibited or enabled the uptake of capacity support for research?

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<sup>3</sup> Email consultations followed the same protocols.

THEMATIC CLUSTER	LEAD QUESTIONS
2. Intentions at the outset of the IDRC/Makerere relationship(s)	<p>What were the intentions/expectations of IDRC and Makerere University in terms of capacity development at the outset? How were these intentions/ expectations developed and to be accomplished?</p> <p>To what extent were the intentions explicit, logical (i.e., based on a theory of change), coherent, appropriate, and connected to the research context and problématique?</p>
3. Description of capacity development intervention(s)	<p>What capacity development strategies were employed and how were they implemented? Why were they chosen?</p> <p>How relevant, strategic, and effective were the capacity development strategies?</p> <p>How did the strategies evolve over time? Why?</p>
4. Performance and continuity of the IDRC-Makerere relationship	<p>What are the outcomes of the IDRC support in terms of individual and organizational capacities and the conduct and uptake of the research?</p> <p>What factors helped/hindered the achievement of the outcomes? (Related to IDRC and beyond)</p> <p>How has IDRC been influenced by the relationship with Makerere University?</p> <p>What is the ongoing nature of IDRC's relationship with Makerere University?</p>
5. Recommendations	<p>What are the strengths and weaknesses of IDRC's approach to capacity development?</p> <p>How can IDRC improve its capacity support in the future to Makerere University?</p>

## 2.4 Project Population

Twenty-two projects, all of which had commenced between 1996 and 2006, were included in the case study. The available project documents were reviewed for all 22 projects. Based on their availability, interviews or email consultations with the respective principal researchers at Makerere were carried out for 11 projects.

A list of the reviewed projects including their start and end dates, as well as total grant amounts, is included as Appendix VI.

## 2.5 Overall Approach

The case study aimed at presenting an overview and analysis of capacity development processes that have taken place in and through IDRC's collaboration with Makerere University. As outlined in the case study TORs, the end goal of the case study was *not* to measure IDRC partners' performance per se (i.e. effectiveness or efficiency of the research projects supported by IDRC), but to better understand IDRC's approach to capacity building and the kinds of capacity building results this approach has contributed to. In doing so, the case study focused on:

- IDRC's direct partners (i.e. the University or its parts such as faculties/departments and individual researchers and research teams), *not* on research project beneficiaries.
- Capacity changes within the university, i.e. at individual, department, faculty, or institutional level. Professional networking was taken into account in its relevance for the individuals and teams working at Makerere (as a tool for and as a result of capacity building). The case study did *not* explore though to what extent researchers from Makerere had contributed to the respective professional networks they were involved in.

### 2.6 Limitations

Interviews with stakeholders at IDRC and Makerere indicated that the available documents and files provided information only on a small part of the actual capacity development objectives and results of the IDRC/Makerere collaboration. The case study thus had to rely largely on information gathered in interviews.

Another limitation was that five of the fifteen principal researchers at Makerere who had led one or more of the reviewed projects were unavailable for consultations<sup>4</sup> and that principal researchers for three projects could not be identified.<sup>5</sup> In addition, some IDRC project officers who had worked on projects in the past were no longer working at IDRC and thus unavailable for consultations.

The absence of an implicitly or explicitly formalized institutional relationship between IDRC and Makerere limited the study team's ability to compile and share a coherent and evolving 'story' of the IDRC/Makerere collaboration as had originally been intended.

Finally, when attempting to understand capacity building work and or the result of capacity building work it is important to have a starting point or a baseline from which to judge the changes that have taken place over time. Unfortunately, there is little or no historical documentation with respect to the state of individuals, groups, departments, or the university, that can be realistically associated with the work of IDRC activities. What we did encounter were individual perceptions of change over time and this occurred when individuals reflected on their own experience, and that of their graduate students.

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<sup>4</sup> All identified Principal Researchers had been contacted by the project team as well as by the Project Coordination office at Makerere. Reasons for being unavailable differed: One researcher had recently passed away, another was severely ill. Others were on extended work related travel and did not wish to be consulted by e-mail, while others were simply too busy.

<sup>5</sup> For three projects, available documents and files did not provide the name of a principal researcher. When contacting the University and/or respective departments directly, we did not receive any answer; neither did the Project Coordination office at Makerere.

Again, individual change was the area of capacity building most frequently discussed by interviewees. This presented a further limitation with respect to our attempting to understand capacity changes beyond the individual.

### 3. Context

#### 3.1 Makerere University: A Short History

This section briefly summarizes some key aspects of Makerere University's history, as the backdrop against which the University's present situation needs to be understood.<sup>6</sup>

##### **Beginnings (1922 – 1962)**

Makerere Technical School was established in 1922 under the British colonial administration in Uganda. In 1937, the school was expanded to a Higher College for West Africa that was awarding diplomas and certificates in a broader range of subjects than only vocational and technical subjects, as had been the case in the beginning. A bit over a decade later, in 1949, the institution attained the status of a university college, awarding degrees for the whole East Africa, as well as external degrees for the University of London.

##### **Post-Independence Era (1963 – 1970)**

In 1963, together with the universities of Kenya and Tanzania, Makerere formed the University of East Africa (UEA). The following years, particularly the late 60s, are nowadays often seen as Makerere's 'golden age': The school enjoyed an excellent international academic reputation, and was known to turn out a large number of noted professionals and leaders for all of East Africa. It had a well-established infrastructure in place, and was renowned for the quality of its staff, and its sound and innovative management. In July 1970, Makerere was declared an independent University, this bringing to end not only the UEA, but also Makerere's relationship with the University of London.

1922	Makerere Technical School established
1937	Higher College for West Africa
1949	University College
1963	University of East Africa (UEA), Makerere's "Golden Age"
1970	Makerere declared independent University
1971-1990	Political turmoil and hardship
Since 1990	Recovery and Transformation
1992	Increased autonomy of the University and introduction of student fees

##### **Political Turmoil (The 70s and 80s)**

The following period, from 1971-1979 when Idi Amin was in power, through the Obote regime (1980-1985) up to 1986 when current president Yoweri Kaguta Museveni took over, marks the most turbulent and

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<sup>6</sup> Information presented in this section is based on a number of sources – please see Appendix #2 for a list of reviewed documents and online sources.

challenging time in Makerere's history to date. It witnessed the University slide into political and economic disintegration. The extended political and financial crisis affecting all aspects of Ugandan life left Makerere impoverished and nearly bankrupt. The quality of teaching and learning declined rapidly: the infrastructure for teaching (laboratories, libraries) deteriorated; underpaid teaching staff either left the institution (and/or the country) to find better paying jobs or took additional jobs as tutors or taxi drivers to make ends meet. Remaining teaching staff had little time and motivation for seminars or one to one student contact, not to mention for research. Students had little or no exposure to new developments in their respective subject areas, nor to technical innovations such as Information and Communication Technologies (ICTs).

The resource decline during the 70s and 80s severely affected the research infrastructure and output of Makerere that had flourished during the 60s. Under Idi Amin, most expatriate researchers left the country, collaborative projects with other countries terminated, and most external donors ceased to support projects. During the 80s, the government's focus was on economic rehabilitation and suppression of internal civil strife. Research funding was, if at all, only available for individual projects, generally those receiving attention from donors. Often, this donor funding tended to be directed toward the (perceived) most dynamic departments while others received no support.

The lack of resources for research resulted in poor facilities, limited access to publishing facilities, a limited research database, low output, and the absence of a research culture, and ultimately in declining research output (see sidebar). In addition, it led to a lack of appreciation for the relevance of research, a lack in experience and skills for doing research, and to an emphasis on financial gain as the key motive for undertaking research.

During the decade 1977-87, research output in Uganda was reported to have declined by 53% compared to previous output levels.<sup>7</sup>

### **Recovery and Change (1990 - Present)**

With the relative re-stabilization of Uganda's political climate, Makerere entered an era of recovery, inner transformation, and reform. Key parts of this (ongoing) transformation process were greater autonomy for the university, strong leadership, and vision. Under the current Vice Chancellor, a more participatory and consultative management style ("open door" policy) has been introduced that has made the university leadership more approachable and accountable.

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<sup>7</sup> Nakanyike B. Musisi, *African Higher Education: An International Reference Handbook* (Damtew Teferra and Philip. G. Altbach, Indiana University Press, 2003), pp. 611-623

The adoption of a comprehensive strategic planning process resulted in the development of a university-wide strategic framework that defined a common vision and mission for the University. From there, the planning process went over to the faculties to provide input to the overall university's strategic plan. At present, the third multi-year strategic plan is in place.<sup>8</sup>

Starting in 1992, the University adopted a market orientation and was allowed to start charging fees to students<sup>9</sup>. Given the continued inadequate funding through government resources, this revenue generation became increasingly important. While still considered a Public University, Makerere is now a 'hybrid' of publicly and privately funded institution. By 1999, over 60 percent of the University's capital budget came from other than government sources. In the fiscal year 2005/2006, this had increased to around 70 percent.<sup>10</sup> Today, internally generated funds are distributed to faculties and units on a monthly basis, following a percentage distribution formula developed by the council finance committee.

Opening the University to anyone who could pay to attend also meant a considerable increase in enrolment rates. From a previous average of 7,000 students per year, MU is now serving approximately 30,000. While this has increased the institution's overall revenues, it also causes considerable challenges concerning capacities (infrastructure, teaching staff) and resulting quality of teaching and learning.

While the number of students has increased dramatically, the actual amount of tuition fees has not. Makerere is among the cheapest universities not only in Uganda, but in East Africa, resulting in numerous students from neighboring countries coming to Uganda, especially for professional courses such as medicine.

### **Some Facts and Figures**

As of July 2007, Makerere University has 33,488 registered students (31,862 Undergraduates and 1,626 Postgraduates). Female students compose 44.6% of the total student population. Up to 5,000 students graduate from the University annually. International Students from over 10 countries in and outside Africa make up 6.4% of the students population. The University has 22 academic Units (11 Faculties, 5 Schools, and 6 Institutes). Makerere runs on an annual budget of approximately 56 million US dollars.<sup>11</sup>

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<sup>8</sup> The first one covering the period 1996/97-1998/99, and the second one 2000/1 - 2004/5. See:

[http://www.makerere.ac.ug/makict/documents/strategic\\_framework/TOC.htm](http://www.makerere.ac.ug/makict/documents/strategic_framework/TOC.htm).

<sup>9</sup> Initially only for participants of evening courses and special programs, but soon after also for 'private students' in all programs.

<sup>10</sup> 45% through student fees and other internally generated funds, and 25% through external donations. Government funding accounted for only 30% of the university's overall income.

<sup>11</sup> Source: Makerere University Website.



Other important recent changes at Makerere include the introduction of demand driven professional courses designed to meet the needs of the labour market, and the introduction of a semester system, aiming to increase efficiency and reducing dead time during long vacations. For internal revenue generation, the university has created a number of commercial units and business enterprises such as the University guesthouse, and the University press.

### 3.2 Institutional Background: Universities

This section outlines some basic reflections on characteristics of universities as a particular type of institution, and on relevant implications of these characteristics in view of (building) research capacities at universities.

#### **Key Institutional Functions**

Universities are social as well as political entities: teaching and research conducted are never 'neutral', but are embedded in various interests and expectations including ideological, economic, and political ones.

The key functions of most Universities can be described as being threefold:

- 1) To educate students (as the next generation of researchers and/or decision makers) in content/knowledge as well as in approaches to generating and utilizing knowledge;
- 2) To continuously push the boundaries of knowledge and thinking within and across disciplines and sectors; and,
- 3) To serve and/or impact on society.

This implies that research always has to be balanced with and competes for resources against the university's other core functions, in particular the education of students. The distribution and prioritization of the different functions is dependent on the respective relevance each function is attributed in the current local or national context. Often, especially if resources are scarce, teaching tends to be seen as the politically more 'paying' choice, as it visibly and directly affects a large number of beneficiaries, while research tends to produce less publicly accessible, and usually only mid- or long term effects.

For individual academic staff members, working at a university implies a number of parallel obligations and expectations, i.e. those related to their: i) contributions to the functioning of the university (e.g. through participation in committees); ii) contributions to a scientific discipline; and, iii) their ability to serve and impact on society. Increasingly, universities and individuals realize that 'serving and impacting on society' does not have to be limited to academic research, but can also be achieved through externally funded consulting work.

This often adds to the complexity researchers are faced with, when they have to make a choice between paid consulting work (often offering high, international rates) or unpaid academic research as part of their 'normal' work at the university.

### Universities as 'Loosely Coupled Systems'

The concept of organizations as 'loosely coupled systems'<sup>13</sup> goes back to the observation that to understand and explain the functioning of an organization, it is not enough to look at its formal structures, goals, and activities, but that most organizations also include important parts that are informal and chaotic. These parts are not adequately described by assuming linear cause-effect relations based on close connections between

different parts of the organization. Weick (1976) defined *loose coupling* a situation in which system elements (e.g. parts of an

Loose coupling is evident when elements affect each other suddenly (rather than continuously), occasionally (rather than constantly), negligibly (rather than significantly), indiscreetly (rather than directly), and eventually (rather than immediately).<sup>12</sup>

organization) are responsive to each other, but at the same time retain evidence of separateness and identity (see also sidebar).<sup>14</sup> Different elements of a system can be identified horizontally (e.g. different individuals working in an organization), or vertically (e.g. hierarchical structures such as individuals, departments, faculties, and central administration of a university).

Organizations are rarely only loosely or tightly coupled systems though, but tend to include both tightly and loosely coupled aspects, i.e. they simultaneously display rationality *and* indeterminacy, predictable cause-effect relations *and* unpredictability. At a University for example, certain aspects of organizational functioning are usually *tightly* coupled, such as how people are paid, how students are admitted, or how the academic year is structured. In this context, tight coupling means that decisions at one vertical level of the organization regularly have direct, immediate, and significant effects on other levels.

At the same time, various aspects of organizational functioning in a university are *loosely coupled*; including how and what individual

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<sup>12</sup> Orton, J, Douglas, and Weick, Karl E. (1990): Loosely Coupled Systems: A Reconceptualization. In: The Academy of Management Review, Vol. 15, No. 2 (Apr. 1990), pp. 203-223.

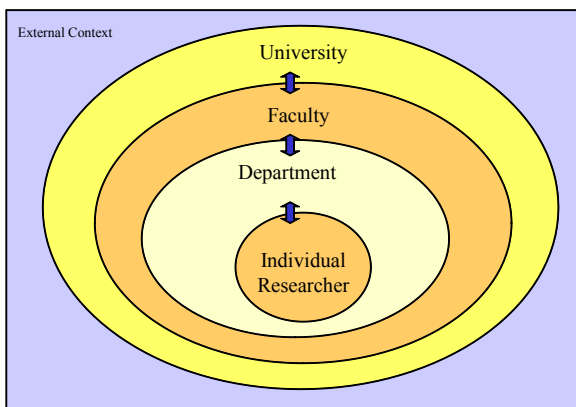
<sup>13</sup> See, for example, Weick, Karl E. (2001): Making Sense of the Organization. Malden & Oxford: Blackwell Publishing.

<sup>14</sup> Weick, Karl E. (1976): "Educational Organizations as Loosely Coupled Systems." Administrative Science Quarterly. 1976, 21, p. 1-19.

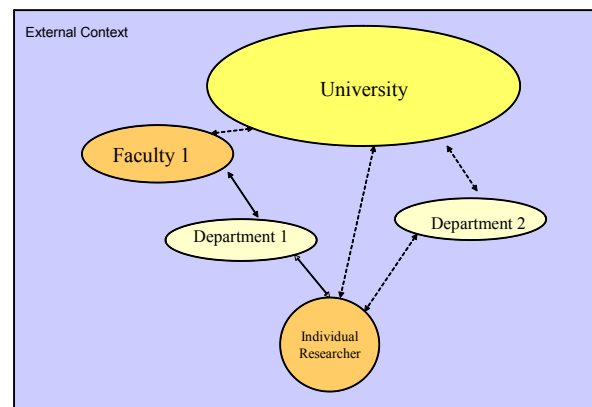
lecturers teach,<sup>15</sup> if and how they engage in research, or whether and to what degree they engage in professional networks. This is indirectly reflected by the fact that a lot of external research grants in universities around the world tend to be provided to individual researchers, not to his/her department. Frequently, individuals are engaged in research projects that are housed in a department or faculty other than their own,<sup>16</sup> thus illustrating that their actions are not (always) guided by the linear hierarchical structure of the institution. Publications, while often identifying the researcher as being linked to a university and/or specific department, are usually in the researcher's name and are attributed to the individual, not the institution. Thus, while the individual researcher is structurally part of a department (and, through them, a faculty, and the university), considerable parts of his/her work, particularly those requiring creativity and/or specialization, are largely disconnected and function independently from larger organizational units.

The pictures below illustrate the dual identity of universities as both tightly and loosely coupled at the same time.

**Exhibit 3.1 University as Tightly Coupled System**



**Exhibit 3.2 University as Loosely Coupled System**



In most cases, loose coupling is not a fault or lack of structure in a system, but rather a functional response. For Universities (like other educational and research institutions) to include considerable degrees of loosely coupled elements is useful or even necessary in order for the institution to respond to the demands posed to it by a highly

<sup>15</sup> They may be broadly restricted by curriculum guidelines, however, what is actually taught in the classroom, and how, is up to the individual staff member and is not fully controllable or predictable by others.

<sup>16</sup> At Makerere, several individuals participated in IDRC funded research projects that were led by a principal researcher from a different department than their own. This collaboration was always based on personal knowledge between the respective individuals, not on systematic collaboration between their departments.

diverse and constantly changing environment.<sup>17</sup> Loose coupling allows for increased flexibility of organizational elements, which in turn allows an organization to adapt to changing requirements, develop creative solutions, and thus increase the organization's overall sensitivity to its environment.

For example, due to their mandate to educate students, university departments must have rather broad strategic priorities – e.g. they focus on 'Sociology' or 'Chemistry'. Individual sub-fields within these broad orientations are defined by, and addressed through individual researchers and their respective areas of specialization. The broader range of different specialized, largely independently, and thus flexibly operating individual researchers a university has, the better in view of its potential to generate innovative ideas and knowledge in different sub-fields related to its broad priorities. This also implies, that for specialized researchers their relevant 'peer group' that can assess and comment on their work usually lies *outside* the university, in a thematically (rather than organizationally or geographically) defined community. For many researchers, this makes access to and participation in professional **networks** highly relevant for their ongoing professional development.

For this case study, we consider the concept of loose coupling as relevant in a number of ways.

- Loose coupling affects how **change processes** occur in an organization such as a university, and to what extent they can be planned or predicted. The concept of tight/loose coupling suggests that the assumption of '**trickle down**' or '**trickle up**' changes resulting from interventions may fully apply only to some (i.e. tightly coupled) aspects of organizational functioning and change. While in a loosely coupled environment, the effects of interventions at one level on another are unpredictable, and – if they occur – tend to do so in a not linear manner.
- This implies that, while change processes in tightly coupled parts of an organization may be planned for systematically (based on interventions at one level of the organization, and its predictable effects on other parts), this

"A loosely coupled system is a problem in causal inference. For actors and observers alike, the prediction and activation of cause-effect relations is made more difficult because relations are intermittent, lagged, dampened, slow, abrupt, and mediated. Micro changes predominate in loosely coupled systems. The crucial links in a loosely coupled system occur among small groups of people, including dyads, triads, and small groups. That being the case, change models appropriate for small groups [...] seems most

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<sup>17</sup> IDRC, for example, is to a large extent a loosely coupled organization.

<sup>18</sup> Weick, Karl E. (2001): Making Sense of the Organization. Malden & Oxford: Blackwell Publishing, p.400.

is not or at least less the case for loosely coupled aspects. For the latter, **tailored initiatives aiming at micro changes** that use individuals or small groups as the entry point for change appear to be more realistic and appropriate.<sup>19</sup>

- In the context of capacity development of specialized researchers, the concept of loose coupling underlines the relevance of external professional **networks** as thematically, rather than institutionally defined points of reference.

## Research Capacities at Universities

According to the working definition of *capacity* as outlined in Phases 1-3 of the strategic evaluation, we understand capacity as

“...the ability of an individual, group, network organization or society to identify and analyze situations, and to have the ability to perform critical tasks that enables it to solve development challenges over time and in a sustainable manner.”<sup>20</sup>

For a University, having *research capacity* thus implies a number of core (organizational) *abilities*. Bernard (2005) distinguishes between five broad capacity categories that tend to be addressed through IDRC’s interventions, i.e.: *conducting* research, *managing* research, *conceiving*, *generating*, and *sustaining* research, *using/applying* research outcomes in policy and/or practice, and *mobilizing* research related systems thinking.<sup>21</sup> While these dimensions allow for distinguishing between core functions that research capacities are expected to fulfill, they do not differentiate between capacities (knowledge, skills, experience, and motivation) of *people* carrying out research, and capacities constituted by the *enabling conditions* within an organization that have to be in place in order to allow researchers to apply their abilities.

As we consider this distinction relevant for describing and analyzing the concept of research capacity at a University, we propose a slightly modified version of Bernard’s framework as shown in the table below. It is based on the five dimensions as described by Bernard, but also

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<sup>19</sup> At the same time, as outlined under the previous bullet point, such interventions at the level of individuals or small groups are likely to have only limited and largely unpredictable “trickle up” effects on *other* elements of the university such as departments or faculties.

<sup>20</sup> Universalia: IDRC-Supported Capacity Building: Developing a Framework for Capturing Capacity building Developing a Framework for Capturing Capacity Changes. February 2007, p.3.

<sup>21</sup> Anne Bernard: Mapping Capacity Development in IDRC. February 2005, p.1.

differentiates between specific abilities required from 'people' and from the 'enabling conditions'.<sup>22</sup>

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<sup>22</sup> In doing so, the table merges the dimensions of 'conducting research' and 'conceiving, generating, and sustaining research' into one, as, in our view, these are usually experienced and perceived as one complex dimension related to 'being able and knowing how to do research'.

**Exhibit 3.3 “People Abilities” and “Enabling Conditions” as parts of a university’s research capacity**

Core Capacity Dimensions (A. Bernard, 2005)	People (Researchers)	Enabling Conditions at Department, Faculty, or University Level
<b>Conducting research</b>	Knowledge, skills, and experience, as well as willingness/motivation required for <b>planning and conducting</b> research (e.g. conceptualizing research idea, developing research project, and methodology, utilizing a variety of methodologies, carrying out data collection and analysis, formulate findings in a manner appropriate to different audiences, disseminate findings, and share products.).	Funding/Resources available  Incentives for individuals engaging in research, e.g. rules for balance of teaching load and time available for research and graduate student mentoring,  Conducive university policies and regulations emphasizing the relevance and potential role of research in light of development problems.
<b>Conceiving, generating, and sustaining research</b>	Formal qualifications (MA, PhD) allowing researchers to carry out and publish research and be recognized by the research community.  Ability and willingness to pursue funding options (search for information, write proposals).  Acting as supervisor/mentor to students engaging in research, e.g. PhD students.	Conducive conditions at level of the department/faculty (e.g. respective leadership not putting constraints to researcher, allowing use of department infrastructure, supporting sharing of ideas/results within the department, encourage involvement of students);  Appropriate Infrastructure (libraries, ICT, office and/or laboratory space) / Equipment/technology required for specialized research in place.  Persistence: The ability of a University to maintain and/or upkeep both its able human resources and an appropriate enabling environment for research. Maintaining Human Resources can include the need to ensure that young researchers are educated and trained in conducting research & obtain relevant degrees (usually PhDs), and are attracted to remain in the institution.
<b>Managing research</b>	Knowledge, skills, and experience in managing research projects and (inter-disciplinary) teams.  Acting as supervisor/mentor to students engaging in research.	Adequate processes, systems, and procedures for procurement, financial management. This includes the abilities and skills of admin staff working on financial management and other supportive functions required for research <sup>23</sup> .

<sup>23</sup> While related to ‘people skills’ we put training for admin staff under ‘enabling environment’, as it is relevant in view of the administrative/management environment for research, rather than for the actual planning and implementation of research projects themselves.

Core Capacity Dimensions (A. Bernard, 2005)	People (Researchers)	Enabling Conditions at Department, Faculty, or University Level
<b>Using/applying research outcomes in policy and/or practice</b>	Knowledge, skills, experience, and willingness/motivation to make research results understandable and relevant to potential users, and to engage with these users in order to communicate research results to relevant others.	Status and academic reputation of university (influencing choice of researchers to work at the Institution, and contributing to potential of publications by individuals being recognized in the research community)  Conducive conditions (e.g. respective leadership not putting constraints to researcher with respect to applied research).
<b>Mobilizing research related systems thinking</b>	Ability and willingness to engage in professional discussions and exchange e.g. in networks;  Ability and willingness to follow up on use/application of research findings and advocate for their implementation/use.	Conducive working conditions that leave researchers time and energy to engage in professional discussions or work related to systems thinking.

This distinction between 'people abilities' and 'enabling conditions' has a number of implications for stakeholders (such as IDRC) aiming to support research capacities at a university:

- In the ideal case of fully present *organizational* research capacities, both 'people abilities' and 'enabling conditions' are in place. If they are not in place, both of them need to be strengthened. Strategies of intervention aiming to strengthen these two aspects of research capacities differ considerably though. Simply put, 'people abilities' largely relate to knowledge, skills, and attitudes, while enabling conditions mostly imply structures, procedures, and systems being in place.
- Another important consideration in this context is the notion of universities as both loosely and tightly coupled systems that was explored earlier in this report. In general, enabling conditions are more likely to fall into *tightly coupled* (and thus more linear and predictable) parts of organizational functioning, while people abilities and related individual or small group behaviour of researchers tend to be *loosely coupled*.<sup>24</sup> This underlines the difficulty of developing 'one serves all' approaches to capacity building, i.e. interventions that would aim to address the abilities of individual researchers, and their enabling environment at the same time.

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<sup>24</sup> We do not assume a 1:1 relation, but - in the specific context of a University - a likely tendency for this correlation with tightly/loosely coupled systems aspects.



- The generation of knowledge and the actual work on research questions is happening in the 'people' dimension only. This implies that while strengthening the enabling conditions for research in an organization is highly relevant, it is also at arm's length removed from actual research being carried out. In other words, if one is most concerned with increasing research activity and research outputs in the short term, interventions addressing people are the more effective way to do so. Similarly, if one is mostly concerned with persistence or sustainability, interventions will probably focus on the enabling environment. When looking at actual research projects however, it becomes clear that a clear 'either/or' distinction is not possible: in each case, at least a minimum set of enabling conditions needs to be in place (e.g. funding be available) in order for researchers to be able to work or at least not be hindered in carrying out their research.

The question for an organization like IDRC is probably not whether to support the enabling environment for research at all. However, to what degree/at what level of the organization it should do so: limited to the immediate needs of a research project (e.g. by providing research, equipment or facilities required for the project), or going beyond that by addressing larger organizational systems or processes.

#### 4. Research for Development Context at Makerere

This section explores some of the major environmental factors that have shaped the immediate *enabling environment* for research for development at Makerere during the past decade.

### Policy Context

Since 1997, developments in the education sector in Uganda have been dominated by the implementation of the policy of Universal Primary Education (UPE). Government and donor priorities and funds were focused on primary education, while government funding for tertiary education decreased over several years.<sup>25</sup>

With more institutions of higher education emerging, the government is now in the process of working towards a single system for tertiary education based on the distinctive contribution and comparative advantage of institutions. A 'Universities and Other Institutions of Higher Education' Bill was passed in Parliament in 2000 aiming to streamline the process of institutional development. In addition, in 2001, the National Council for Higher Education was established (see sidebar).<sup>26</sup>

The **National Council for Higher Education** serves as a watchdog for quality and relevance of higher education. It is responsible for (a) regulating and guiding the establishment and management of institutions of higher learning, and; (b) regulating the quality of higher education, equating of higher education qualifications and to advise government on higher education issues. After initial scepticism of many universities who feared being 'policed' by the council, the body's work has found increasing acceptance and support among Ugandan institutions of higher education.

Over the past decade, the Ugandan government has expressed increasing interest in developing local research capacities in Uganda in order to address pressing development issues. This was partly based on the repeated experience of having international consultants work on issues, but never being left with lasting capacity that would enable the country to tackle newly emerging problems on its own. The government was one of the driving forces behind the establishment of the *Innovations at Makerere Committee* in 2001.<sup>27</sup>

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<sup>25</sup> International Network for Higher Education in Africa, Country Profile Uganda: [http://www.bc.edu/bc\\_org/avp/soe/cihe/inhea/profiles/Uganda.htm](http://www.bc.edu/bc_org/avp/soe/cihe/inhea/profiles/Uganda.htm)

<sup>26</sup> But only became fully functional in 2003.

<sup>27</sup> The Innovations at Makerere Committee was established with funding from the World Bank and the Rockefeller Foundation. It provides funding for projects that address gaps in the academic or administrative functioning of Makerere. This includes, but is not limited to academic research. Academic and administrative staff can hand in proposals, which are then reviewed by a committee including government representatives, (rotating) members of seven different MU faculties, and from one other University. The emphasis for project selection is on their applicability and relevance with regards to either making MU more efficient, or contributing to broader development problems. To our knowledge, IDRC did not play any role in the establishment of the Innovations Committee, nor has it had any systematic interaction with this body.

## Financial Context for Research

At present, one key challenge for the delivery of higher education in Uganda in general is inadequate funding “compounded by the politics of fees, donor policies, and insufficient national income.”<sup>28</sup> Given the high demands posed on higher education institutions with regards to their teaching mandate, funds available for research are scarce.

There are some government funds available for research related to development priorities (e.g. under the current ‘Presidential Initiative on Banana Industrial Development’ or through the joint government/World Bank ‘Uganda Millennium Science Initiative Project’). However, critics point out that the verbal commitment of the Ugandan government to the relevance of research for national development has not (yet) been met with matching resources.<sup>29</sup>

At Makerere, some of the research funds available from government and external donors have been centrally channeled through the School of Postgraduate Studies for the past ten years.<sup>30</sup> Staff (particularly Masters and PhD students) can compete for these funds based on proposals related to one of several priority themes identified for the university, with multi-disciplinary approaches being encouraged. These centrally administered resources are limited though. Most of the remaining external funds at Makerere are channeled through individual researchers and/or departments, i.e. they are not centrally administered. At present, the central administration is only partly informed about the total of external resources flowing into different departments or to individuals. The recent introduction of a Grant Coordination Office at Makerere is envisaged to create a better overview of existing external donations to the university.

As part of the administrative reforms Makerere has undergone, parts of the university’s financial authority has been decentralized. Faculties now determine their own development through financial committees that receive a portion of the university’s internally earned revenue, and decide on its allocation and distribution.<sup>31</sup> Given the many competing needs at the faculty level, this has not yet led to any substantial changes with regard to increased funds for research or research activities being carried out.

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<sup>28</sup> The National Council for Higher Education (2006): The state of Higher Education and training in Uganda 2005.

<sup>29</sup> Source: Interviews with researchers, administrative staff, and representative of donor organizations at Makerere.

<sup>30</sup> The School of Graduate Studies was established in 1994, but took some time to become functional. See also: <http://graduateschool.mak.ac.ug> .

<sup>31</sup> Court, David (1999): Financing Higher Education in Africa. Makerere, the quiet revolution. World Bank and Rockefeller Foundation. p.7.

### Institutional Context

Makerere's former monopoly on higher education in Uganda is increasingly being challenged. Until the mid 1980s, Makerere was the only institute of higher education in the country; in 2005, there were 27 universities in Uganda. Besides three other public universities (Gulu, Mbarara, and Kyambogo), and the Makerere Business School as an affiliated public institution, this included fifteen (15) private Universities many of which are faith based.

While Makerere remains to be the first choice for most students in Uganda, other institutions increasingly compete with it not only for students but also for teaching staff. Several academic staff from Makerere take on additional part-time teaching assignments at private universities. Most private institutions are able to offer smaller class sizes and thus better conditions for teaching and learning.

At present, most of the private universities tend to focus on teaching, while research is nearly exclusively carried out at the four public universities, in particular at Makerere. Given the growing competition from other institutions, Makerere's role as a centre of research is becoming increasingly important if the university wishes to retain its leadership position within the Ugandan higher education system.

### Research Culture at Makerere

Research is one of Makerere's key mandates as expressed in its current institutional vision (see sidebar). While a lot of progress has been made in other areas of institutional reform, Makerere identifies the need to further strengthen its research capacities as one of its key outstanding strategic priorities.<sup>32</sup>

**Makerere's vision and mission** enlist the university as supporting national (development) priorities.

**Vision:** To be a centre of academic excellence, providing world-class teaching, research and service relevant to sustainable development needs of society.

**Mission:** Makerere University aims at providing quality teaching, carry out research and offer professional services to meet the changing needs of society by utilizing World wide and internally generated human resources, information and technology to enhance the University's leading position in Uganda and beyond.

Source: MU Website.

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<sup>32</sup> MU Website

Makerere's current strategic plan (2000/1 – 2006/7) includes a research agenda geared towards complementing the government's Poverty Eradication Action Plan (PEAP). With this, the University deliberately made a step towards a commitment to applicability and relevance of its work within its national context. Makerere has identified a number of cross cutting research priorities at institutional level that include appropriate technologies, economics, biotechnology, and methodological studies. Of the internally generated university funds, approximately one percent is currently reserved for research with emphasis on these priority areas.<sup>35</sup>

Besides faculties, Makerere's academic structure also includes a number of **specialized institutions** that operate in close collaboration with the university but are independent entities. While some (e.g. the Makerere Institute of Social Research (MISR) funded in 1948) have been in existence before the recent reform initiatives, others have been established more recently – such as the Makerere University Institute of Public Health (MUIPH), that was founded as an independent entity in 2000. Other institutes are: the Institute of Statistics and Applied Economics (1969), the Institute for Environment and Natural Resources, and the Institute of Adult and Continuing Education (IACE) (1992)<sup>33</sup>. Besides teaching and academic research, these Institutes engage in a considerable and increasing amount of consulting work, both for the Ugandan government and for international organizations<sup>34</sup>.

Until recently, research at Makerere has largely been viewed as an *individual* issue that was up to the interests, ideas, enthusiasm, and initiative of individual researchers. There is now growing awareness that a more coordinated approach to research can offer advantages for individuals and departments, but this awareness is only slowly translating into actual changes. The recent introduction of research coordinators at department and faculty level has not had any tangible results in view of creating more coordinated research.<sup>36</sup>

Similarly, Makerere does not have a tradition of trans-disciplinary research. While many academic staff today generally embrace the idea, and while an increasing number of individuals gain experiences with inter-disciplinary projects, collaboration across departments or faculties is still largely dependent on the initiative of individuals, rather than being an essential part of 'how research is done' at Makerere. Research projects involving students are still relatively

<sup>33</sup> See Makerere University Website:

[http://mak.ac.ug/makerere/index.php?option=com\\_content&task=view&id=13&Itemid=84](http://mak.ac.ug/makerere/index.php?option=com_content&task=view&id=13&Itemid=84)

<sup>34</sup> The latter usually resulting in considerably higher fees than domestic work allows.

<sup>35</sup> Asiimewe Kihangire (2007).

<sup>36</sup> Source: Interviews with researchers and admin staff at Makerere.

rare, too. This is partly due to the overall small number of research projects being undertaken, and partly due to the absence of a respective research culture. Thus, while there are several examples of individual researchers successfully involving undergraduate and graduate students in their projects, only a very small percentage of Makerere students have had the opportunity so far to apply and broaden their knowledge and skills by taking part in research initiatives<sup>37</sup>.

Overall, the existing research culture at Makerere illustrates that research is among the loosely coupled functions of the university.<sup>38</sup> If individuals engage in research, what topics they work on and what choices they make concerning research methods or team members is nearly exclusively up to them.

### **Human Resource Context**

Under the leadership of the current Vice Chancellor, the university has embarked on a number of initiatives directed at emphasizing the relevance of research at the University. This included linking staff promotion to research and publication records, and – since 2002 – requiring lecturers to hold a PhD or at least be enrolled in a PhD program.

While many stakeholders generally welcome these demands as they put more emphasis on the need for developing and sustaining research and publication capacity within the university, there is also criticism related to their current feasibility: the increased number of students at Makerere has not been matched with an increase in teaching staff. The resulting higher teaching (and marking) loads for academic staff leaves many individuals with little or no time and/or energy for research. Thus, while according to the University's vision research is equally relevant as teaching, and while staff are encouraged to engage in research, the current practical reality for most researchers contradicts these expectations.<sup>39</sup>

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<sup>37</sup> Several IDRC supported projects, such as the Community Wireless Network project, have involved students as members of the research team. See also section 6.2 on capacity development results.

<sup>38</sup> Please see section 3 for more details on the concept of 'loose coupling'.

<sup>39</sup> Source: Interviews with researchers and admin staff at Makerere University, and interviews with donors supporting MU.

An additional challenge is that several academic staff regard their current salaries as low compared to other options offered to them elsewhere, e.g. by the private sector. Many individuals take on additional assignments in order to make ends meet – often teaching work at other (private) universities, or evening and weekend classes at MU, but also consultancies outside the university. This in turn affects their time and energy available for academic research. At present, most research carried out in Uganda is done by individuals as part of the requirements for completing their postgraduate degrees, rather than by senior researchers.<sup>41</sup>

In 2003, the University employed 2,036 staff (1,161 Academic Staff and 875 Administrative Staff). The Academic Staff included 37 professors, 72 Associate Professors, 177 Senior Lecturers, 372 Lecturers, 303 Assistant Lecturers, and 199 Teaching Assistants. In the year 2000, 221 out of then 911 of academic staff at Makerere had PhDs.<sup>40</sup>

### Infrastructure

Some attempts have been made, often with help from external donors, to improve Makerere's infrastructure required for teaching and research. Thus, for example, the library has been updated and expanded, and library staff been trained. One area of focus has been strengthening the university's ICT infrastructure (see sidebar).

In 2000, the Directorate for IDCT support (DICTS) was established. Its mission is to support not only ICT infrastructure development at the University, but also work on building staff capacity to use ICTs effectively. Today, most staff have access to computers and the Internet most of the time.<sup>42</sup>

Despite these positive changes, Makerere is still in high need for more and more modern facilities and equipment across faculties and departments. This is particularly the case in those departments requiring up-to-date technical equipment in order to engage in relevant teaching and research.

<sup>40</sup> Musisi, N. (2003a), p.617.

<sup>41</sup> The National Council for Higher Education (2006): The state of Higher Education and training in Uganda 2005.

<sup>42</sup> Student access to computers is still very limited though. According to the Council for Higher Education (2006) the average access ratio in Uganda in 2005 was 46 students per computer.

## Donor Context

Makerere receives support from a variety of donor agencies and other organizations (foundations, private sector firms). While external support to Makerere had more or less stopped during the 1970s and 1980s, assistance has increased over the past decade, and many of the current donors have worked with the university for an extended period.

In the fiscal year 2005/2006, the recorded total of donors sponsored projects at Makerere was 102 bn Ugandan Shillings (approximately \$61 million CAD).

At present, Makerere does not have a system for estimating the actual overhead (OH) costs caused through donor-funded projects, and has no standard agreement for charging overheads. Thus, OHs paid differ between donors; with several donors insisting on cost sharing thus including overheads into project budgets.

Exhibit 4.1 gives an overview of the donors supporting the university in fiscal year 2005/2006, their foci of work, and amounts allocated to the university.

**Exhibit 4.1 Donor Funding Levels at Makerere FY 2005/2006<sup>43</sup>**

DONOR	PROGRAM/AGREEMENTS	CORE ACTIVITIES/COMPONENTS	2005/2006 SHS (Mn.)	APPROXIMATE IN \$ CAD (Mn.)
NORAD	5- year Institutional Development Project	Infrastructure, Research, Library & Research/PhD	30,300	18
	NUFU Program		6,500	3
SIDA/SAREC	Five- year Research	Collaborative Research	14,270	8.5
Rockefeller	4-year capacity building	Capacity Building	20,377	12
Italian Gov.	Italian Cooperation	Faculty of Technology Professors	1,584	0.9
JICA	Printing & Building Equip.	Equipment of the University Printery	792	0.47
Carnegie	3 Year Institutional Development Project	Research, ICT, Gender, Library	5,200	3.1
ADB (ICT)		ICT- University wise net	1,750	1
USAID (ICT)		ICT- University wise net	1,400	0.8
Pfizer		Infectious Disease Institute	19,250	11.4
IDRC	Various Projects	Community Wireless network, Software, RIA	737	0.4
<b>Total Funds</b>			<b>102,160</b>	<b>60.9<sup>44</sup></b>

<sup>43</sup> Source: Asimewe Kihangire (2007).



The figures illustrate that IDRC operates with comparatively moderate resources even if considering that some major contributions listed above are multi-year investments.

Several of the donor agencies (other than IDRC) working with Makerere support research, and (research) capacity building. In doing so, they tend to apply one or more of the following foci:

- Support to the development of the university as a whole, with simultaneous entry points at different organizational levels (individuals, departments, faculties, overall management, and administration). In the past, agencies such as NORAD, the Carnegie, and the Rockefeller Foundations have taken such an institutional approach.
- Support to the university, as well as to its external environment relevant to higher education and/or research (e.g. work with the National council for Higher Education, or with ministries of education, finance, etc.). SIDA/SAREC, for example, has increasingly taken such a comprehensive approach (see also sidebar).
- Support to specific faculties working in a particular discipline, such as the Faculty of Medicine (e.g. through Pfizer) or the faculty of Agriculture (e.g. through the Rockefeller Foundation). Support tends to include support for infrastructure (e.g. buildings, equipment), as well as funds for capacity building. In some cases, such sector specific support is provided linked to

**The SIDA Department for Research**

**Cooperation (SAREC)** is SIDA's sector department for support to partner country research and research of importance for the development of these countries. SAREC has been working with Makerere since 1999, with the overall goal to strengthen Uganda's national research capacities to allow for locally driven and implemented research agendas. SIDA's support to MU was initially focused on working with individual researchers and faculties. It soon broadened its approach though to work on improving the overall enabling environment for research to address contextual factors that had been found to considerably affect the ability of individuals to conduct research such as university financial management and procurement, or infrastructure such as library resources. SIDA/SAREC now works with stakeholders at all levels of the organization - from graduate students, to individual researchers, department and faculty heads, to the University administration, and also engages with key players outside the University, in particular relevant ministries that can impact on the overall enabling environment for research in Uganda.<sup>45</sup>

<sup>44</sup> The individual amounts in Canadian \$ named above add up to \$59.57 million as they are approximate (rounded) figures.

<sup>45</sup> Source: Interview with SIDA/SAREC representative, and SIDA/SAREC website.

particular research or other agendas promoted by the respective donor.

Support to individuals provided under any of these approaches often consists of assisting individuals in pursuing PhD or Masters degrees, e.g. through scholarships, or 'sandwich programs' partnering with a University in Europe or the US.

Our interviews suggest that IDRC's approach to working with Makerere differs from that of other donors in that the Centre focuses on thematically defined research projects and people rather than taking an institution or organizational unit building approach.<sup>46</sup>

### Conclusion

The environment for research for development in Uganda is still young and emerging. Many of the recent changes occurring at Makerere and in Uganda give reason for hope that the environment may become increasingly conducive- e.g. the growing realization of the government regarding the potential leadership role of academic research for solving development problems, and the university's commitment to relevant and applied research.

At present though, despite this rhetorical support for research, individuals and teams at Makerere still face a difficult environment with concrete obstacles including large classes and increased teaching/marking loads, poor salaries, lack of research funding, and a lack of required infrastructure. At the same time, they are facing an increasing pressure to conduct research and publish. At Makerere, research is among the *loosely coupled* functions of the university. This implies considerable freedom for but also reliance on the initiative, thematic and methodological choices and preferences of individual researchers.

In the short term, enabling individuals to conduct research projects can overcome some key challenges posed by the current enabling environment for research in Uganda and at Makerere. In doing so, support to individuals is able to create considerable benefits in terms of increased local research activities and research outputs. While it does not systematically erase contextual challenges, it can be successful in 'making research happen' and thus support the local generation of knowledge on and solutions to pressing development problems.

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<sup>46</sup> This is further explored in the following chapters.

## 5. Intentions of the IDRC/Makerere Relationship(s)

### A Patchwork of Individual Relationships

The relationship between MU and IDRC has been and is constituted through a set of different relationships between individual researchers or teams at Makerere (mostly researchers, but, in some cases, also admin staff) and a variety of IDRC staff both in Nairobi and in Ottawa.<sup>47</sup> Up until now, the collaboration between IDRC and Makerere has not been formalized in an explicit or implicit agreement between the two institutions that would state overall intentions of their relationships. There are no established procedures or assigned individuals that would act as the representatives of the two partner organizations on a day-to-day basis.<sup>48</sup>

This collage-like nature of the IDRC - Makerere relationship determines all aspects explored in this case study, and is thus woven throughout the report as a **reoccurring theme**. One of its key implications is that the IDRC - Makerere relationship is not easily described as a 'story', i.e. as a coherent narrative that would evolve over time. It also implies that there is not one set of intentions that would characterize the overall institutional relationship of the two entities. In the following, when speaking about 'intentions' of the resulting overall collaboration of IDRC with the university, we therefore refer to the sum of intentions that are implied by the characteristic *actions* that constitute the individual relationships between researchers and IDRC staff.

Makerere has recently set up a **Project/Grant Coordination Unit** with the intention of creating a centralized unit for communication and collaboration with donors and thus improving institutional contacts between the university and its partners. The unit is still evolving. Until now, several IDRC officers have been in contact with individual staff in this unit, usually on an operational basis, i.e. related to specific projects. As the unit evolves, it may hold opportunities for clarifying if and how IDRC wishes to (and is able to) engage with it on an institutional level as well as on a project-by-project

<sup>47</sup> The nature of the university's research function as a **loosely coupled** one makes this individualized collaboration of researchers and IDRC possible and furthers it. There is neither obligation nor need for individual researchers to consult with the university administration or other centralized units about planning and conducting research in their area of specialization.

<sup>48</sup> Individual project agreements are being signed by the University Vice Chancellor. However, this tends to be a 'one off' function, and is not related to an ongoing exchange at the level of the two institutions.

### Focus on Successful Research Projects Addressing Development Problems

At their core, relationships between IDRC and researchers at Makerere are based on a (at least assumed) common interest in different development problems as addressed through one of IDRC's programs<sup>50</sup> and a related funding initiative.<sup>51</sup> IDRC is seeking and developing relationships with researchers at Makerere based on the understanding that these individuals are interested in, and willing to engage in research addressing the development problems captured in the respective IDRC program and funding initiative.

The objectives and foci of the respective IDRC programs/initiatives tend to be broadly defined, thus allowing considerable space for developing locally relevant research projects contributing to the overarching program (see sidebar).

Most of the consulted principal researchers at Makerere indicated that their initial involvement with IDRC was closely related to their interest in or professional connection to specific thematic areas as addressed through IDRC programs:

- They were approached by IDRC based on their existing thematic affiliation, and invited to participate in learning event related to an IDRC program or related research initiative (e.g. Ecohealth approach). They submitted a subsequent proposal related to the initiative and were selected either on a competitive or non-competitive basis.
- They searched for funding opportunities in general, came across or were directed to IDRC's website<sup>52</sup> and wrote an unsolicited proposal based on programs/research areas IDRC was supporting at the time. In at least one case, the proposed project was not related to the existing interests of the

#### **Examples of IDRC program objectives/foci<sup>49</sup>:**

The Ecosystem Approaches to Human Health Program Initiative supports research on the relationship between all components of an ecosystem to define and assess "priority problems that affect the health of people and the sustainability of their ecosystem".

The Communities and the Information Society in Africa Program Initiative (ACACIA) aims to increase the capacity of sub-Saharan communities to apply Information and Communication Technologies (ICTs) to their own social and economic

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<sup>49</sup> Source: IDRC website.

<sup>50</sup> E.g. Environment and Natural Resource Management.

<sup>51</sup> E.g. Ecohealth. A table illustrating the relation of the reviewed projects with IDRC funding programs and their respective objectives and/or priorities is included in Appendix VII.

<sup>52</sup> E.g. by colleagues who knew about IDRC.

researcher, but based on the respective thematic areas that IDRC supported at the time.<sup>53</sup>

- An IDRC officer they had already known approached them on a personal basis. Based on their affiliation to a discipline they were asked whether they were interested in collaborating with IDRC on continuing, ('reviving') an existing but stalled IDRC funded project. As the project topic fit into the broader thematic interests of the researcher, he/she agreed.

In all cases, researchers were responding to existing IDRC priorities and research niches. However, none of the consulted individuals at Makerere indicated that they had perceived this as a negative characteristic – partly because they generally expect to adapt their own interests to donor priorities. In IDRC's case, this positive experience was also because researchers felt that the Centre was merely providing broadly defined topic orientations without prescribing specific research questions or project designs. This allowed research teams to develop projects that while contributing to a broader topic, also addressed specific development problems in the Uganda context. Also, as numerous IDRC supported projects were/are part of regional initiatives involving a number of different partners, stakeholders saw the need for a common reference point as the 'glue' to keep the initiative together.

### **Pragmatic Intentions: Accessing research funding**

For most researchers the key intention for entering a relationship with IDRC was the possibility to access funding for research. Interviews with different researchers implied, that the wish to engage in research was based on a variety of underlying reasons differing from person to person. These included:

- The wish to contribute to the generation of knowledge in a specific thematic area;
- The wish to contribute to the generation of knowledge in general – preferably related to one's own discipline, but not necessarily so if no funding was available for that;
- To further one's own professional advancement (e.g. promotion to senior researcher, which at Makerere is now linked to the obligation to conduct research);

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<sup>53</sup> The researcher described that after having studied abroad, he came back to Africa and was initially "stuck in terms of how to do research." He then heard about IDRC and contacted them for funding. "One of their priorities at the time was the environment. That was not my area, but I wrote a proposal anyway. After the project ended, IDRC changed its priorities, which broke the process of capacity building. I then wrote a successful proposal for the new area."

- Because doing research is interesting, challenging and simply fun;
- Because research projects allow professors to provide interesting and relevant learning opportunities for students; and,
- Because the research project provides the opportunity to work with colleagues from other departments or faculties, which would not be possible or considerably more difficult without external research funds.

### **Research Capacity Building as a Partly Implicit Intention**

All consulted IDRC staff indicated that at its core the collaboration with researchers at Makerere was intended to contribute to the development of research capacities – be it capacities of the individual principal investigator or his/her team members, or capacities of professional national or regional networks working on the broader issues addressed through a research initiative. Some officers also expressed that one of their hopes had been that projects might, in the mid to long term, trickle up and have positive impacts on the research capacities of the respective department or the university as a whole. Similarly, most of the consulted principal researchers stated that one of their intentions when getting involved in the respective research project was to use the project as a means for their own and/or their team's capacity development. However, some also added that the project 'was not primarily about research capacity building', implying that capacity building had the status of an overarching, general intention.

Fourteen of the 22 reviewed research projects include explicit capacity building objectives.<sup>54</sup> These objectives can be divided into two types a) those that are *developmental* in nature, i.e. that aim to strengthen capacities *other* than research, such as strengthening the capacity of Community Based Organizations to access and use ICTs;<sup>55</sup> b) Objectives that specifically focus on strengthening research capacities of individuals or groups. In this study, we focused on this latter group of *research* capacity building objectives. They can be divided into four main groups:

- 1) Generic objectives that broadly refer to the intention of building the capacity of researchers. For example, "*To build qualitative research capacity in the network.*"<sup>56</sup>
- 2) The intention to encourage more research being carried out in a specific thematic area or on a particular issue. In some cases,

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<sup>54</sup> As stated in the respective project PADs. A table summarizing all examples of explicit research relevant objectives is included in Appendix VIII.

<sup>55</sup> In project with the same name: Strengthening Community-based Organizations Through ICTs in Uganda.

<sup>56</sup> Project: GRACE: Gender Research in Africa into ICTs for Empowerment.

this intention is further specified as relating to research using a specific approach. For example: *"Create momentum for more concerted cross-disciplinary research, teaching, and information gathering regarding women and gender issues."*<sup>57</sup>

- 3) The intention to strengthen the applicability of research findings to actual development/policy problems, by fostering increased communication and exchange among researchers and the potential users of research findings. For example, "To strengthen the capacity of researchers and practitioners to analyze policy change and assess policy options."<sup>58</sup>
- 4) The intention to strengthen professional exchange among researchers working on the same or on similar issues. In several cases, networks are envisaged as key tools in strengthening the dissemination of research results in order to influence policies. E.g.:

*"To develop linkages among African researchers in the area of ICT policy and between them and international research networks."*<sup>59</sup>

The respective **target groups** for most of the explicit research capacity building objectives are broadly defined. The most specifically identified group is 'the research team' or 'researchers' (referring to the specific individuals working on the project). Other envisaged beneficiaries of the intended capacity building are more vaguely defined, and include 'The research community'; 'Institutions'; 'Policy Makers' and 'other research users'. Makerere University or any of its departments or faculties is not among the explicitly intended targets for CB efforts.<sup>60</sup> Similarly, project documents provided only very limited information on how the intended CD objectives were to be **operationalized**. Only in two cases, project documents specifically identify tools such as trainings, seminars, workshops, and mentoring.

A broad number of expectations related to capacity building in and through the projects that were held by IDRC staff and researchers are **not made explicit** in project documents. This appears to be largely based on the fact that most of these expectations or intentions were considered as 'obvious' likely effects of research projects that did not have to be mentioned as they did not relate to the primary research objective of the project. This includes the intentions/expectations:

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<sup>57</sup> Project: Women's World Congress.

<sup>58</sup> Project: Regional Program on Social Policy Reform.

<sup>59</sup> Project: Research ICT Africa (RIA) Research Network (Phase 2).

<sup>60</sup> This is relevant in view of our later reflections regarding project CB results at the level of broader organizational units.

- For students to pursue and complete a PhD or Masters degree during the research project and with funding from the project (i.e. increase formal research qualifications);
- For all involved team members to gain more experience in all matters related to planning and implementing a research project through process of implementation (including on cross-disciplinary work), and to gain knowledge in relation to research area through process of working on research question;
- For senior researchers to gain acknowledgement and strengthen one's own reputation as a researcher through increased experience and publication on research question; and,
- To add to the research infrastructure (e.g. equipment, reference materials) available to the department or faculty.

Interviews with researchers and IDRC staff suggest that the 'how' of capacity building (i.e. its operationalization) was widely viewed as a process that naturally unfolds because of project implementation. This implies the underlying assumption that research always has a certain capacity building effect on the individuals involved. While all consulted stakeholders seemed to share this assumption, there were some individual differences concerning what was considered the most relevant capacity building effect the project was hoped to contribute to. For example, several researchers named the opportunity for students to earn a PhD or Masters degree as one of the most important capacity related effects they had expected the research project to contribute to. IDRC officers on the other hand tended to name broader issues such as the opportunity for the research team to expand their knowledge of and experience in conducting cross-disciplinary research.

As will be outlined in the following sections, the fact that research capacity building intentions of individual projects tend to remain partly implicit and are neither captured in project documents nor made fully explicit in discussions between IDRC and individual researchers means that a number of positive results of the initiatives remain uncaptured. This limits not only IDRC's ability to share and/or showcase a larger number of positive effects of its capacity building work, but also opportunities to systematically **build on** achieved results, as well as for **assessing and reflecting** upon changes in research capacities over time.



## 6. Research Capacity Development

### 6.1 IDRC Capacity Development Interventions

While the previous section explored the assumed underlying *intentions* of the IDRC/Makerere relationship(s), this chapter describes what IDRC actually *does* to support building research capacities at Makerere, and what its approach implies in view of the Centre's (implicit) *theories* of capacity building and change.

#### **Individualized and Theme Oriented Capacity Development**

As the relationship between IDRC and Makerere is constituted by a set of individual relationships, so is IDRC's capacity building work. The Centre does not 'do' capacity building of Makerere University, but of individual researchers and teams, 'one person/team at a time'.

Rather than following a defined approach to or strategy for capacity building, IDRC activities appear to be guided by the implicit principle that whatever assistance the respective partner may require to do better research is provided within the limits of available time and resources. Most of the interviewed IDRC officers regard capacity building as IDRC's core way of operating. The process of IDRC and researchers at Makerere working together on research projects is seen as *being* capacity

building, not a *means* for capacity building. In other words, capacity is not something that

"What IDRC does is to enable people to carry out research and help them to be successful at it."  
Principal Researcher

can easily be looked at and targeted in separation of what it is that a researcher is working on. Accordingly, most of IDRC's activities are geared to supporting the respective individual in doing good/better research on his/her specific thematic area<sup>61</sup>.

IDRC supports individual researchers not only as persons working on an individual project but as colleagues with the potential to contribute to knowledge generation and discussion on the respective research problem in the longer-term. Researchers are addressed and supported primarily in their capacity as contributors to *thematic* areas (and a thematic research community) rather than in their role within the university. In this, IDRC's approach differs from and complements that of most other donor organizations supporting research at Makerere, most of who orient their capacity building work around one or more organizational units, or the institution as a whole.<sup>62</sup> At present, it

<sup>61</sup> Specific activities supporting capacity building are described further below.

<sup>62</sup> Support provided by other donors focusing on individuals is mostly provided in form of funding for graduate students to complete their PhD or Masters

appears that these two donor approaches do not hinder or obstruct each other, but act complementary by strengthening different parts of organizational functioning. However, potentials for **additional synergies** that could derive from a more deliberate use of these different approaches are currently neither explored nor utilized by IDRC or other donors working with Makerere.

### Capacity Building Activities

There is no fixed procedure, or set of activities, that IDRC uses to support the capacity building of different partners. Instead, officers, in consultation with the respective research teams, select the types of support that appear to be the most relevant and feasible in the respective situation. While two researchers stated that they did not remember any support from IDRC other than the fact that the Centre had provided (welcomed and highly valued) funding for their projects, all others mentioned one or more examples of how IDRC's actions, or its overall approach, had been relevant for enhancing research capacities.<sup>63</sup> Some examples include:

- Assisting individuals in **improving project concept papers and proposals**, thus enhancing their knowledge and skills on proposal writing as well as in project planning. For instance, in relation to the 'Integration of Refugees into the Ugandan Education System' project, a researcher commented, *"Writing the proposal in itself was a process that deepened my knowledge and understanding and was an exciting experience. The various comments from IDRC were very constructive and helped me grow."*

For the 'Private Sector-led Aquaculture and Malaria in Western Uganda' project, the respective IDRC officer went two or three times to Uganda and worked with the team on developing and finalizing the project proposal.

- Offer **information, training, and ongoing advice** related to the respective research **problematique** and/or specific **methodological** questions. For example, team members involved in the 'Private Sector-led Aquaculture and Malaria in Western Uganda' project commented that before the project started an IDRC officer had come to Makerere and had shared reflections and ideas on using a trans-

"We require in depth proposals that require a lot of work. We really go into detail. The preparation can sometimes be frustrating for the teams, but it helps later on during implementation."  
IDRC officer

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degrees in Uganda or abroad (e.g. through sandwich programs with universities in Europe or North America), but is less or not at all centered around particular thematic areas and related development problems.

<sup>63</sup> This 'mixed bag' approach was also described in the report on the first phase of the strategic evaluation: Charles Lusthaus & Stephanie Neilson. "Capacity Building at IDRC: Some Preliminary Thoughts." April 2005, p.29 f.

disciplinary approach with researchers and students. The session was experienced as highly valuable, as it illustrated hands-on elements of working effectively as a trans-disciplinary team, i.e. going beyond working parallel to each other and submitting separate reports, but how to work on integrating each other's observations and findings into an integrated product. IDRC continued to provide advice on how to manage the trans-disciplinary approach throughout the project.

- **Questioning and challenging established approaches** to conducting research, thus helping researchers to think about alternative ways of approaching research problems. Related to the 'Uganda Community Wireless Network Project' a researcher stated that: "We had different ideas than IDRC had initially expected. We discussed them, and they accepted our ideas. They challenge our thinking but leave you alone and don't force you to take on their view."
- Encouraging and supporting the **dissemination, sharing, and publication of research findings** to relevant stakeholders. For example, team members of the 'Private Sector-led Aquaculture and Malaria in Western Uganda' project remembered how IDRC had encouraged and supported them in developing ways of how to share research findings with the respective communities they had involved in their research. "We asked the community for recommendations on what to do with the findings, which were a new way for us to deal with research findings. It was difficult at first, but it worked, and the community members liked it a lot."
- Supporting the building of a research **relevant network or working groups** by providing catalytic funding. For instance, looking back on an IDRC sponsored workshop to create a 'Research and Education Network in Uganda', a researcher explained that we had this idea of creating a research network on ICT in Uganda, but initially it did not work out. IDRC came in and provided funding for a workshop to get the thing started. Sometimes all it takes is to bring the key people together in the same place. The workshop helped us kick off the network.
- Informing researchers and teams of regional or international **conferences** and workshops that might be interesting for them, and, in some cases, provide funding for them to attend. One principal researcher, for example, stated, "The IDRC officer frequently contacts me to let me know about conferences or events that might be interesting for me to attend."
- **Encourage reflection** among the research team upon what has been learned through a project, what knowledge or skills can be applied in their other work. For example, team members involved in the 'Uganda Community Wireless Network Project' shared that the respective IDRC officer was very interested in capacity building and frequently asked what the team had learned, if they could

apply new ideas etc. Team members who worked on the 'Private Sector-led Aquaculture and Malaria' project were invited to participate in a reflection workshop with IDRC after the project ended to capture key lessons learned not only from their thematic work, but also in view of their collaboration, and capacity development.

- Helping team members **think beyond the immediate project plan**. One principal researcher recalled "They [IDRC] told us from the beginning that they wouldn't have funding for implementing our findings, and that we would have to look for other donors early on."

While the entry point for the relationship with researchers is usually related to a particular research theme, IDRC also provides assistance in more **general skill and knowledge areas** such as training in project management, monitoring, and evaluation, or proposal writing. IDRC officers shared that this more general training is usually offered to individuals and teams that have already worked with IDRC on one or more previous research projects on which further support can build. A team member of the 'Aquaculture and Malaria' project expressed appreciation for IDRC as *"they took us on workshops that were not directly linked to the project, for example on project management. No other donor does that."*

### **IDRC's Roles in Building Research Capacity**

In summary, IDRC takes on a number of different roles that contribute to the capacity development of researchers and teams in different, complementary ways.

- One key role is that of a professional **enabler**. This enabling function is primarily linked to providing funding as the core condition for individuals to engage in research (which, for some students, is also related to the opportunity to pursue a post-graduate degree). IDRC funding also allows organizing events (such as workshops or conferences) that in some cases have catalytic effect, in that they are the entry point to further collaboration and exchange among researchers. For most of the consulted researchers, IDRC's enabling function was by far the most important one.
- IDRC is also seen as a **connector** in its ability to bring researchers into contact with other professionals (individuals or networks) working on the same issues.<sup>64</sup> This role is related to the fact that IDRC officers tend to be well immersed in to their

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<sup>64</sup> "IDRC also made great efforts to put us into contact with other IDRC funded research teams in other countries who are working on similar topics. That exchange was really helpful, as it allowed us to learn about challenges and issues others faced." (Research Team Member).

particular areas of specialization and know key players working on similar issues in the region or globally. In addition, IDRC officers and research partners tend to develop personal/collegial relationships that often extend beyond the duration of a particular project. Researchers, IDRC staff, and other donors regard this as a positive characteristic of the Centre's work.

- A third key role that was repeatedly mentioned is that of IDRC as a trusted professional **advisor** in view of content issues of the research problématique being addressed, but also with regard to broader issues related to project or team management. This role was particularly emphasized for IDRC's work during the project planning and proposal/concept writing stage, but also - in some cases - for suggestions and advice provided during project implementation. Also in this, IDRC was described as differing positively from many other donors.

### Supporting the Enabling Conditions for Research at Makerere

While IDRC's support focuses on individuals and teams, and thus on the 'people' side of research capacity, it does not exclusively do so. The Centre has also provided assistance to **strengthening selected aspects of the enabling conditions** for research at Makerere<sup>65</sup>: At least one staff member of the university's finance section (now part of the new project coordination unit) has participated in IDRC sponsored training on research project management. Also, the Centre has contributed to improving the research and teaching *infrastructure* available in the departments that individual researchers work in - such as the department of chemistry, DICTS, the department of Social Work and Administration, Medicine, or the department of Electrical Engineering. In this, IDRC's assistance has focused on those parts of the enabling conditions that are of *immediate relevance* to the respective research initiatives that it supports.<sup>66</sup>

Typically, IDRC does not fund major infrastructure investments such as new buildings, but rather provides computers, internet access, or

laboratory equipment required for a specific project. This assistance is not linked to a comprehensive or systematic program aiming at

"With IDRC support, I was able to buy important equipment for the project, which we are still using in the Department today. IDRC doesn't give much for infrastructure though, and equipment in our field is expensive." Principal Researcher

<sup>65</sup> Please see section 3.2 for the distinction between the 'people' side of research capacities, and the 'enabling conditions for research'

<sup>66</sup> For example: Private Sector-led Aquaculture and Malaria in Western Uganda, Uganda Community Wireless Network Project, Strengthening Community-based Organizations through ICTs in Uganda, and Indigenous Food Plants.

strengthening the overall enabling organizational context for research within a particular department, or the university as a whole.<sup>67</sup>

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<sup>67</sup> This observation is not suggesting that IDRC *should* or would need to have such a comprehensive program. Please see chapter 8 for further discussion of this issue.

The University as an institution mainly functions as the *background* against which individual researchers and teams work, not as the target for interventions. This is underlined by the observation, that the analysis of the overall organizational context at Makerere plays only a very limited role in IDRC's collaboration with the University. While the Centre carries out regular organizational risk assessments of Makerere, these assessments focus on the University's administrative and financial management abilities, which constitute only a small part of the many factors constituting the organizational research environment.<sup>68</sup>

Also, while individual IDRC officers may be *aware* of the university's strategic plan(s) at institutional and department levels, we did not find indication for IDRC's choice of research themes, choice of individuals that it engages with, or its emphasis on applied research were deliberately aiming to respond or support these plans. At present, IDRC's approach and priorities do - in their content - factually align with several of Makerere's strategies and priorities, for example: the University's commitment to carry out more research relevant to development problems. However, this **alignment appears to be by coincidence rather than by design**. While IDRC's work does *not* appear to run the risk of obstructing the University's internal plans and strategies, it may not use its full potential to support them.

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<sup>68</sup> One IDRC staff member described that "I don't know a lot about what happened at the University beyond the level of our immediate partners. We looked if the University can administer the project, but that's it."

### **In-depth, Longer-term Collaboration with Fewer Individuals**

Several of the consulted researchers had worked with IDRC on more than one project.<sup>69</sup> IDRC staff and the respective researchers described this as a positive characteristic of the Centre's work: the continued collaboration allows for the development of deeper individual relationships, and can help researchers to go deeper into their respective subject matters and research questions.<sup>70</sup>

For IDRC, working with known partners at Makerere who have already proven their ability to manage and implement research projects enhances the likelihood that new projects are effective and successful in view of generating relevant knowledge on their respective questions. One IDRC officer also pointed out that, in her view, working with the same partners over time offers more opportunities for also affecting the respective unit/department he/she works in. e.g. by supporting the researcher in using findings and insights from research projects in the classroom, or by helping the department to include a broader number of students in thematically similar research projects than would otherwise be possible.<sup>71</sup>

Two stakeholders (at IDRC and the university) mentioned however that they were not sure to what extent IDRC's preference for long-term relationships with a smaller number of individuals was deliberate or 'accidental' (i.e. because it was easiest). Assuming that it was deliberate, they wondered whether IDRC would contribute more to strengthening research capacities if they worked with a larger number

#### **Evolving Relationships**

One observation made in interviews with researchers who had been involved in two or more IDRC projects was that only one researcher mentioned a (positive) *change* in his relationship with IDRC over time, by stating that in the past IDRC had been more likely to try and tell researchers what they should work on, whereas now they were a lot more open to listening to and accepting the teams' own ideas. Other researchers tended to describe their collaboration with IDRC in terms of separate and individual 'project chunks' rather than as an evolving 'story' of a relationship.

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<sup>69</sup> The 22 reviewed projects were led by 15 different principal researchers. Four individuals had led two or more projects, and one researcher is currently in discussion with IDRC about a second phase of a recently completed project.

<sup>70</sup> One IDRC officer described how a researcher at Makerere, who had cooperated with the centre on various projects, had become one of the leading experts on ICT4D in Uganda, a field that at the time was relatively new in the country. The researcher himself had not been involved in this area before working on the IDRC supported projects.

<sup>71</sup> "We usually start with an individual, but over time we also try to make sure that capacities can remain within the department, - for example we support teams to develop materials and guidelines that can be used in the department even if the respective researcher(s) involved in our projects should leave." IDRC officer.



of different people, rather than supporting the same individuals over longer periods. The question implies that among stakeholders there are at least **two differing underlying concepts of what can be perceived as constituting "more" research capacity**: A larger number of researchers with strengthened basic/generic skills or a smaller number of specialized researchers who contribute to a particular problem in more depth. At present, IDRC's practice illustrates an emphasis on the latter, i.e. on supporting research on specific themes and questions. Rather than constituting an 'either/or' dilemma (i.e. which concept of 'more capacity building' is more appropriate?), a deriving question for IDRC may be how to **manage stakeholder expectations** regarding the Centre's approach to, and priorities for capacity building.

## 6.2 Research Capacity Development Results

What research capacity building results has the IDRC-Makerere relationship contributed to? In this context, one guiding question for the study team was also, whether, and to what extent research capacity had been enhanced not only at the level of individuals and teams, but also at larger organizational levels, e.g. the department, faculty, or the overall university.

### Documented and "Implicit" Capacity Development Results

In exploring what research capacity development has taken place, it is important to keep in mind that largely the IDRC supported initiatives did not specifically set out to build *research* capacities, but focused on other thematic priorities.<sup>72</sup> It is therefore not surprising, that project technical **reports and other documents provide only limited information** on what research capacity building results have been achieved through different projects<sup>73</sup>. **Interviews** with researchers, students, and IDRC staff on the other hand provided richer data that illustrated a variety of positive effects on the research capacities of individuals and teams, which go beyond the results captured in project reports and other documents.

**Some examples** of research capacity development results reported upon by consulted stakeholders are provided on the following pages.

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<sup>72</sup> Please refer to chapter 5 on the intentions of the IDRC-Makerere Collaboration. A list of documented project outputs relevant for research capacity development is included in Appendix IX.

<sup>73</sup> We specifically focus on *research* capacities. Several projects, such as 'Strengthening Community-based Organizations through ICTs' have a strong focus on capacity building of beneficiaries, yet not with regards to *research* capacities.

The project exposed team members to **new perspectives** on development problems and approaches to research questions, such as designing and conducting multi/trans-disciplinary research (see sidebar).

For various researchers, working on the project resulted in changed **attitudes related to their approach to carrying out research**. For example, the inter-

disciplinary team working on the 'Private Sector-led Aquaculture and Malaria' project had committed to involving stakeholders into their work. Initially, putting this into practice was challenging for a number of team members. Coming from an academic environment, they felt that community members were unable to contribute relevant ideas to the discussion, and that they did not understand what the researchers were trying to do. In some instances, they were ready to give up on the idea of stakeholder involvement. As the project evolved though, the team developed an increasing appreciation of the kinds of inputs community members were able to give, and the value added by their inputs in view of the project's aim to provide useful research findings that could really make a difference.

While for some principal investigators the respective project was one among many they had led, at least for one researcher it was the first one. In her case, developing and implementing a project concept, and **managing a project team was a new experience**, and was accordingly felt as a highly relevant and forming professional experience. She had not been sure whether she would be able to do manage a project, but the IDRC project put her in the position to (successfully) 'jump' into that role.

Researchers further mentioned positively that the project had provided them with an increased exposure to national and international **networks**, or a wider research community. In relation to his involvement in the 'Regional Program on Social Policy Reform', one researcher shared:

*"About 2-4 workshops were held that brought together all the participating institutions in the regional projects. Through these workshops a lot of sharing and skills building was ably done. The most interesting aspect of regional projects is the exposure that participating researchers gained by interacting with other researchers*

**New Perspectives:** A team member of the 'Local Governance and ICT Research Network for Africa' project (LOGIN) recalled that he initially got involved in the project because the principal researcher knew him personally and had worked with him before. While having strong analytical and organizational skills, he had not previously been involved in ICT4D related work. The project allowed him to gain considerable experience and knowledge in this area, which he has since then been able to apply in other (non-IDRC) projects. The project was based on an action research approach. While he had previously been familiar with this approach in general, he had not applied it in a large, 2-year project before and found the experience highly valuable. He also mentioned that the project introduced him to new techniques such as carrying out peer reviews of projects implemented by teams in other countries.

*from different countries. I have personally been able to keep in touch with the network of researchers that participated in the regional projects."*

Another positive and capacity relevant result mentioned was the fact that working on the research project helped to strengthen the respective **researcher's CV**, e.g. through publications related to project. In two cases, this positively influenced the process of the individual's promotion to a more senior position at Makerere.<sup>74</sup>

Researchers involved in the 'Private Sector-led Aquaculture and Malaria' and in the 'Uganda Community Wireless Network' Project also reported upon having integrated findings and experiences from the research project into their **teaching** ("*Working on the project helped me to include a lot more practical and up to date examples into my teaching*"), and on having developed ideas and suggestions for curriculum changes in their respective departments/institutes.

Several researchers found that working on the IDRC project(s) had contributed to enhancing their knowledge and experience related to **proposal writing, project planning, or project management**, i.e. broader issues that went beyond their immediate research topic. One principal researcher in the Institute of Environment & Natural Resources described, that an IDRC supported project management training that he attended helped him approach his role as project leader differently, and had also led him to propose and develop the introduction of a project management course for students in the Institute.

In various projects, participating **students** were able to earn postgraduate degrees during and with support from the respective project.<sup>75</sup> Only in some instances, this is mentioned in the final project reports, in others, it remained a 'silent' capacity building result.

Students involved in the 'Uganda Community Wireless Network' Project reported upon a wide range of positive effects their participation in the project had for them: for the first time, they had been able to apply theoretical knowledge in a concrete research environment, thus broadening their ability to connect theory and practice. They had gained knowledge, skills, and experiences related to research project planning, and management, and had enhanced their knowledge and practical experience in their particular area of study and work. Working on the project had further resulted in an improved relationship with the senior researchers and professor involved in it. The particular project meant that the students worked in different

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<sup>74</sup> "The publications out of the research projects supported by IDRC contributed to my being promoted at my university". Principal Researcher involved in three of the reviewed projects.

<sup>75</sup> E.g. Indigenous Food Plants (3 MSc Degrees); Private Sector-led Aquaculture and Malaria in Western Uganda (6 MA/MSc research supported);

communities, and had to work closely with community members. These gained experiences led several of the students to developing new, related research questions which they are currently pursuing as part of their compulsory 4<sup>th</sup> year individual research projects.

**In summary**, the examples in this section illustrate that a considerable part of the research capacity changes described by researchers and students have occurred as '**meta results**' of the respective research projects, i.e. effects resulting from the overall process of collaborating with IDRC on a project, and/or the mere fact that individuals had the opportunity to gain new experiences, contacts, and ideas by means of working on a research project. This appears to be one key factor contributing to the fact that a considerable part of the achieved capacity building results remained **implicit** in that they were not captured in regular project reports or had been made explicit otherwise. Other possible factors contributing to this can be the fact that the explicit emphasis of most projects is not on research capacity building but another thematic area. Much of IDRC's support for capacity building is evolving as the project develops and is not laid out in specific objectives or goals that project teams would feel obliged to report upon. While understandable in their origin, the dominance of 'silent' and un-captured results suggests that **IDRC may miss opportunities** for tracking and highlighting the successes of its research capacity building work.<sup>76</sup>

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<sup>76</sup> Please also see chapter 8 for further discussion of this issue.

## Research Capacity Building Effects at Higher Organizational Levels

In interviews with stakeholders,<sup>77</sup> we asked informants about any effects that IDRC funded research projects had beyond the immediate group of researchers involved in their planning and implementation. There were a number of examples of positive effects at the department level that individuals (partly or wholly) attributed to their involvement in IDRC supported. These were:

"The work generated has been quite useful in our teaching purposes. Students have found it more specific to our contexts in the developing countries." (Principal Researcher)

- Improved teaching and thus better education for students due to lecturers being able to draw from a wider range of relevant and applied examples, e.g. in the department for Electrical Engineering. (See also sidebar).
- Enhanced conditions for research due to better equipment paid for by an IDRC funded research project, e.g. in the Department of Chemistry.
- Actual and planned changes to existing curricula taught in the department, due to lecturer's work on a research project - e.g. the Institute of Environment & Natural Resources being about to introduce a new course on Project Management.
- Increased discussion/exchange among colleagues - e.g. in the Department of Electrical Engineering - both in relation to the research topic and project results, as well as in view of the researchers' relation with IDRC and opportunities for funding/support for other projects. These discussions can carry the potential for increasing future research activity and collaboration within the department.

None of these effects at the department level were part of the respective project objectives as outlined in project documents, nor had they been discussed or otherwise made explicit before the interviews with the case study team. Stakeholders were not aware of any examples for effects that research projects had had at the inter-department, faculty or university level.<sup>78</sup>

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<sup>77</sup> Researchers, students, and a department head who had not been involved in any IDRC supported research projects.

<sup>78</sup> Several researchers stated that their personal experience with inter-disciplinary and inter-departmental work had increased by working on a respective IDRC supported project. While this has increased the *potential* of more cross-department work taking place (due to the experienced and motivated individuals), it has not (yet) led to any detectable changes in the general way departments collaborate i.e. it has not (yet) constituted a change at other than individual levels.

In this context we would like to refer back to the concept of *loosely coupled systems* that was introduced in Section 3.2. In a loosely coupled system, linear and predictable 'trickle up' effects from one vertical or horizontal part of the organization to others are comparatively unlikely to occur. In this view, it is not surprising that the reviewed research projects have had only limited and somewhat 'accidental' effects on broader organizational levels. One possible question resulting for IDRC and its partners is however, whether, and how those effects that *have* been achieved could be harnessed more effectively (starting with capturing them more systematically) not only to showcase project results, but also to (possibly) contribute to further changes at department or other university levels.

## 7. Strengths and Key Challenges of the IDRC/Makerere Relationship

This section summarizes the key strengths of the IDRC/ Makerere relationship as have emerged through the case study, as well as some of the factors that currently pose challenges to stakeholders, or (may) reduce the performance of parts of the IDRC/Makerere collaboration.

### 7.1 Good Practices Contributing to Capacity Development

The following reflections on the strengths of the IDRC/Makerere relationship are structured along the categories outlined in the **Good Practices that Contribute to IDRC's Capacity Development** framework as included as Appendix I of the case study TORs.<sup>79</sup>

#### Relationships

Several of the consulted researchers at Makerere mentioned **personal exchange and contact with IDRC officers** as among the most helpful aspects of IDRC's support. The value of personal support was described as being multifold, but mostly related to the experience that IDRC staff was **knowledgeable** about the respective research topic and questions, as well as **connected** within regional and international networks that were of interest to the respective researchers.

In addition, stakeholders shared that IDRC staff show **genuine interest** in wanting researchers to succeed in their work and they provide hands-on help to make that happen, e.g. through providing constructive feedback on draft proposals, thus helping researchers to improve their project outlines. IDRC staff are seen as being **passionate** as well as knowledgeable about the research they are involved in. They genuinely care about the projects they support because they are deeply interested in the respective research problématique at stake. This contributes to the impression that IDRC Officers **treat researchers as colleagues** who share core (thematic) interests, rather than as mere 'grant recipients'.

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<sup>79</sup> Please see the case study TORs in Appendix I of this document.

Visits by IDRC officers were mostly described as positive experiences.<sup>80</sup> Rather than having a control function, visits were aimed at identifying possible challenges researchers were facing and helping to address them. This hands-on and content focused approach was perceived as positively distinguishing IDRC's work from that of most other donors (see also sidebar).

At present, personal communication between researchers and IDRC officers is carried out by phone, via email, and during in-person visits of IDRC staff at the university or at project sites.<sup>81</sup> Most consulted researchers stated, that they would welcome if IDRC officers were able to visit more often, and generally spend more time on individual projects. This request was made both by individuals whose main contacts were based in Ottawa, and those served out of the ESARO office in Nairobi.<sup>82</sup> At the same time, several stakeholders (at Makerere and in both IDRC offices) mentioned that the geographical proximity of the ESARO office was an advantage in that it made personal contact easier (due to the absence of a time difference) and cheaper (due to lower phone bills, and travel costs).

"The interest of the regional (IDRC) staff in Nairobi in making follow-up visits to the study sites was one characteristic that positively distinguished IDRC's support from that of many other donors." Principal Researcher

"The IDRC officer actively helped us in writing the proposal and making it a better document. They don't just sit behind their desks but really get involved." Research Assistant

"IDRC personnel gets very involved in research projects, they drive it very hands-on and in an individual way." Representative of other donor agency supporting Makerere

### Flexibility

Both researchers and IDRC staff described IDRC as being comparatively flexible in its expectations and demands. IDRC officers understand that

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<sup>80</sup> Those who did not explicitly describe the visits as helpful and positive either did not mention them at all, or did not highlight them as particularly helpful. No one stated that they had negative experiences with visits from IDRC officers.

<sup>81</sup> In several cases, researchers reported upon at least one visit by 'their' IDRC officer during project implementation. Two researchers mentioned though, that beyond the project preparation phase they had not been in any considerable exchange with IDRC officers. One researcher shared that "I wished that someone from IDRC would have come out to the field with me at least once in a while to see what challenges we are dealing with and why we were delayed in project implementation. Just getting to the project site was difficult. At that time, the LRA was active, and while I was visiting the field, they abducted children and women. We had to cross a river in a canoe to get there and there were crocodiles in that river. If I ever got another research grant, I would want a monitoring unit involved that is not only looking at money but also at the field experience."

<sup>82</sup> Of the 22 reviewed projects, 5 were supported by Project Officers in Ottawa, and 17 out of Nairobi.



in most cases project plans have to be adjusted during implementation to meet the changing realities of the field. IDRC does not force a project to stick to plans that no longer make sense just because they 'had said so' in the beginning. At the same time, they place strong emphasis on thorough and realistic project planning to help researchers come up with good plans that only require minor adjustments. Consulted researchers perceived this as another indication of IDRC being genuinely **interested in projects to succeed** in their research goal, and not just in mere compliance with rigid funding parameters.

### **Persistence**

The relationship between IDRC officers and individual researchers does not automatically finish once a research project is over. Instead, in several cases researchers and IDRC officers stay in contact over an extended period. This can lead to new research projects (e.g. through IDRC officers inviting researchers to submit a proposal for a new initiative), or develop into an ongoing professional exchange in which IDRC officers continue to inform researchers about professional development opportunities such as conferences, and reach out to involve them in other initiatives related to their work.

Most stakeholders expressed appreciation of IDRC's tendency to engage with individuals over longer periods of time, but two individuals also shared concerns about the Centre's tendency to 'always work with the same people'.<sup>84</sup> Another researcher felt that IDRC projects tended to have a too limited duration, which allowed for only limited learning and capacity building. Others however shared that in their experience IDRC projects tended to be longer than other donor-funded initiatives. Thus, there was no strong consensus requesting generally longer funding periods.

### Resilience

The period this case study is focusing on, i.e. the past ten years, while posing numerous challenges, have not been a particularly challenging time in Makerere's dynamic history. During the most difficult period that the university faced in the 1970s and early 80s, IDRC had, to our knowledge, reduced its support considerably, yet had not completely cut relations with Makerere, thus staying engaged at least on a minimal level.<sup>85</sup>

#### Resilience: A Recent Example

Under the IDRC co-sponsored regional SIMA initiative<sup>83</sup>, funding had run out earlier than expected as other donors had opted out. A project team at Makerere that was implementing a project under SIMA felt obligated towards the communities they had worked with to continue with the application/ implementation of project findings, but was not able to do so. They felt that this unpleasant situation was partly IDRC's responsibility as the Centre had encouraged researchers to pursue a participatory and community based approach. IDRC officers shared these concerns. While the funding cut had been beyond the control of IDRC, and while IDRC had been the last donor to 'hang on', IDRC officers felt responsible for at least trying to avoid similar situations in the future. The Centre has been actively working to secure funding for a follow up phase to the initiative. Although the example marks a negative experience of IDRC's partners at Makerere, it also illustrates IDRC taking the issue seriously, continuing exchange and discussion with the respective partners, and working towards improvements to avoid similar situations in the future.

### Strategic Intelligence

IDRC officers were described as having **in-depth knowledge** of the respective broader issues addressed in IDRC programs, and of research being carried out in the field at regional and international level. IDRC usually conducts extensive **background research** into the issues it

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<sup>83</sup> Of which the 'Private Sector-led Aquaculture and Malaria in Western Uganda' project was part.

<sup>84</sup> See also section 6.2 above.

<sup>85</sup> None of the consulted stakeholders neither at IDRC nor at Makerere had been involved in the IDRC/Makerere collaboration during that period, or was able to share any details about this time.

addresses before asking for proposals. Therefore, according to the consulted researchers, topic areas suggested by IDRC tend to be **relevant** to key regional and national development issues.

In a context where most other externally supported capacity building approaches are either institutionally or geographically oriented, IDRC's work with its focus on individual researchers may not at first glance appear to be sustainability oriented. However, our data suggest that sustainability is an important concept in IDRC's work. The Centre works to ensure that **sustainable capacities** are developed **in relation to the thematic areas**

and research questions that it works on. IDRC helps to build individual and team capacities that have the potential to contribute to research and knowledge generation on selected development problems.

In addition, IDRC's work includes facilitating and initiating **networking**

"IDRC wants projects to succeed and be sustainable" - while most consulted researchers felt that this was a positive characteristic of IDRC's support, one interviewee raised the question, whether the focus on 'successful projects' might actually *negatively* affect IDRC's aim of supporting capacity building for research? This concern was based on the thought that capacity building usually implies a component of learning, and that a lot of learning occurs through making mistakes or even failing. A strong focus on successful projects might eliminate or diminish the possibilities for learning and thus for capacity building inherent in *unsuccessful* initiatives.

among different researchers working on similar questions, thus creating opportunities for lasting professional exchange and peer support. The Centre supports and encourages the **dissemination of research** findings, supporting the uptake and use of research outputs and outcomes both in 'the real world' and in further research. Sustainability also comes into play in view of the professional relationships that develop between IDRC officers and researchers, which in some cases last even if the respective researchers move from one institution to another and thus allow for continuity of the theme-focused collaboration.<sup>86</sup>

### **Build on existing capacities**

IDRC tends to work with highly qualified individuals at Makerere who have proven capacities in carrying out research - either through previous projects with IDRC, through research funded by other means, or through their formal qualifications. The collaboration with IDRC builds on their existing thematic and methodological knowledge, skills, and experience, and is aiming to provide tailored support to allow researchers to further develop their capacities in their respective area(s) of work.

<sup>86</sup> In one case, for example, one researcher who had led a project at Makerere has now moved to Gulu University in the north of Uganda, but is staying in touch both with IDRC and his project colleagues at Makerere.

Another important characteristic of IDRC's work is that the Centre insists on using and thus building on the University's existing administrative structures and processes for financial management and auditing, rather than (as most other donors have) setting up a separate IDRC office or sending external auditors. While the financial management of several IDRC projects had created some challenges for all involved stakeholders, IDRC officers and partners at Makerere see the Centre's insistence on using local structures as positive in that it avoids duplicating existing structures and thus emphasizes the relevance and legitimacy of the university's own central systems and capacities. This is particularly important in a context where there is a continued lack of coordinated, centrally available knowledge on donor activities at Makerere.

### **Locally-driven agenda**

IDRC officers are generally seen as being open to and respectful of the ideas of the researchers they support. They do not enforce a specific approach or methodology for a project, but leave the 'how' of a project up to the respective research teams. They will discuss and sometimes disagree with researchers; however, they accept their opinion, and will not force them to change their minds. The only areas the Centre was seen to be 'strict' about were a) Ensuring the relevance of research for actual development problems; b) Pursuing inter-disciplinary and/or participatory approaches - where applicable; and, c) Involving students in the research process as feasible. For all three issues researchers viewed IDRC's strong position as helpful and appropriate.

One question that was raised by some IDRC officers was however, to what extent the IDRC/Makerere collaboration to date has sufficiently taken the University's (or other) research and development agendas into account. As described in chapter 5 above, it appears that at present existing strategic plans of Makerere do not play a strong (if any) role in determining areas for research funded by IDRC. For example, Makerere University has explicitly committed to supporting and encouraging research that relates to, and addresses current development problems affecting Uganda. In practice, IDRC supports this goal by putting strong emphasis on the applicability and relevance of research for actual development problems, but this alignment remains largely implicit.

Our interviews suggest that the degree to which projects are locally driven is not of major concern to researchers at Makerere.<sup>87</sup> IDRC's approach, while usually prescribing broad 'umbrella' topics, leaves considerable room for project teams and encourages them to develop research projects that are tailored to the specific needs of the respective local environment. One area that IDRC could explore in the future is, if and how it can support researchers more in **making existing links** with relevant local agendas more **explicit** in planning and implementing research, as well as in sharing and utilizing research findings. Such visible alignment could provide symbolic support to the university leadership in the respective area, and could contribute practical examples of where research under these plans might 'go' in the future.

## 7.2 Challenges

This section discusses a number of challenges that IDRC and Makerere face in their relationship.

### **Fragmented knowledge on the IDRC- Makerere relationships**

IDRC's ability to capture the nature and results of its overall support to Makerere University in a comprehensive way is limited by a number of interrelated factors.

- IDRC only captures a small part of the actual research and institutional capacity building that it contributes to. A large number of the intentions/expectations for capacity building held by IDRC officers and researchers at Makerere remain implicit assumptions, that are neither expressed before or during project implementation, nor afterwards.<sup>88</sup> This also means that there is very little or no tracking of those project effects that go beyond the explicitly planned results of individual research projects, and that are not captured in project completion reports. A variety of positive project effects, e.g. those related to enhanced

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<sup>87</sup> This absence of concern can also be seen as underling the notion of the university as a *loosely coupled system* - in which researchers tend to be less interested in affecting organizational change, than in contributing to thematic, research related advances. In other words: The fact that researchers do not voice concern about the lack of alignment with the university's strategic plans may not be sufficient to inform IDRC's discussion and decision on the question whether it is doing 'enough' in this respect.

<sup>88</sup> One IDRC officer pointed out that the place for broader reflection on what happened during and because of the project was usually during interviews with project teams for the project completion report. While some of the reviewed PCRs do include information on capacity development results, and on overall learning, others do not. Overall, interviews with stakeholders indicated that the IDRC/Makerere collaboration has generated a lot more relevant results than are currently captured in any of the existing project documents.

experience, motivation, and professional acknowledgement of students and senior researchers, or positive effects at the level of departments, thus largely remain un-captured. The same applies to effects evolving over time, e.g. because of the continued collaboration between IDRC and the same researcher or team.

- Within IDRC, while individual project officers are often aware of many of these 'silent' effects of projects, this knowledge tends to remain unshared with others within or outside IDRC. As repeatedly mentioned in this report, the collaboration between IDRC and Makerere is constituted through a collage of individual relationships. This is linked to how IDRC generally organizes its own work, namely along the lines of thematic programs. While this model is functioning well in view of IDRC's ability to support research projects and individuals, it poses challenges for tracking the sum of its interventions and resulting changes at the university. IDRC officers pointed out, that there is currently little time or opportunity for exchange and cross-fertilization among different project/program officers on their work with a specific institution such as Makerere.<sup>89</sup> Currently, there is no one at IDRC who would have a comprehensive overview not only of the investments made at the university, but also of the parallel and/or cumulative results of this collaboration over time.
- Existing IDRC databases allow for collecting basic information on inputs, supported initiatives, and broad results of the IDRC/Makerere collaboration, but tend to miss initiatives that include Makerere alongside multiple other partners, e.g. some regional or network initiatives.

Overall, this makes it difficult for IDRC to gain a comprehensive overview of what its work with Makerere has entailed over time, what results/effects at individual, and organizational levels it has contributed to, and what opportunities for future support may have arisen from (currently 'hidden') cumulative effects, or from untapped opportunities for cross-fertilization among researchers and teams at the university.

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<sup>89</sup> We acknowledge that this case study is an example of the contrary. The above made point relates to the current absence of opportunities for regular exchange among IDRC officers though.

At Makerere, the situation is similar in that the individualized nature of the collaboration with IDRC contributes to the fragmentation of information and knowledge related to the relationship. To date, individual researchers who have been or are working with IDRC have not exchanged their experiences on a regular or systematic basis, thus limiting the opportunities for cross-fertilization of ideas and lessons learned (see sidebar). Information about IDRC supported projects (as about other donor support) is still fragmented and tends to be located in different departments or faculties. The recently established **project coordination office** is envisaged to take on a coordinating function, and to become a central location where information about donor-supported initiatives at Makerere is coming together. While the coordination office will probably be able to respond to information requests posed in relation to grant amounts and recipients, it is not currently foreseen that its role will include actively reaching out to researchers in different departments to initiate exchange among them related to research contents, or methodological issues.

**Before the case study team visited Kampala,** the project coordination office had informed all principal researchers of the visit, who had in turn arranged to meet to jointly discuss what, if any, preparations for the interviews might be appropriate. During the meeting, several of the researchers realized that a) they had not been aware of many other IDRC supported projects at the university and b) they found that many of the findings, lessons learned, or methodological issues they learned about through their colleagues were interesting and relevant for their own work.

### Limited Visibility

Beyond the individuals who have directly worked with IDRC, and some (yet not all) other donor agencies, not many people are aware of the fact that IDRC is working with the university, or of the particular nature of its support. The individualized character of the Centre's work with different researchers appears to be one relevant factor in this limited visibility.

**Other factors** contributing to the **limited visibility** of IDRC's support are located in inner-university structures, including the absence of a centralized database and related website that would publicly list all donors working with the university. At present, only those agencies supporting the School for Graduate Studies at Makerere are listed on the university website as assisting with the development of research capacities.

While this limited visibility does not necessarily affect IDRC's ability to identify and work with individuals in different departments, it can be relevant in view of demonstrating successes of IDRC's work to others, e.g. to donors supporting the Centre's work. It may also limit potentials for collaboration and/or harmonization with other stakeholders, and diminish potential positive impacts that IDRC's work could have on ongoing organizational change processes.

### Partner Selection

For IDRC, the fact of having limited research funds available and thus having to select among possible grant recipients poses a number of practical and ethical issues. Selecting partners is an important but complex challenge for IDRC as it attempts to balance “personal wisdom” with transparency and equity.

Choosing individuals based on *personal knowledge* of them and their work (e.g. due to their reputation or previous work with them) increases the likelihood of having a good understanding of their interests and their engagement in the research questions addressed. From IDRC’s perspective, working with individuals who have genuine interest in the respective research questions has the advantage that it increases the likelihood that

these individuals will continue to work on the respective issues even after the IDRC funded

project(s), and that they are also more

likely to actively engage in professional networking and exchange.

Continued support for selected individuals may

also bear positive effects in view of intra-university change processes (see sidebar). However, this approach invites criticism as it tends to create an “IDRC club” and thus excludes those who may not have the luck to be personally known to IDRC officers and tends to support the same few.

Selecting grant recipients on the basis of *competitive processes* instead may be more appealing in some ways: It is less prone to criticism of being unfair as it allows a broader number of individuals to apply for funding and bases decisions on the review of project proposals rather than on personal acquaintance. Proposals from individuals who were until then unknown to IDRC can also open opportunities for successful collaboration with individuals who IDRC may otherwise not have engaged with. At the same time, competitive processes run the risk of discouraging applicants who are not successful from developing research initiatives in the future (see sidebar).

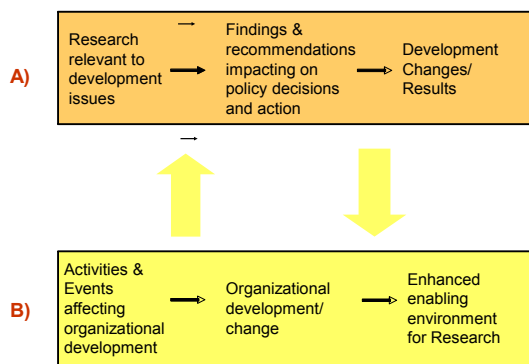
#### Supporting change agents

In one interview, IDRC staff indicated that in case of IDRC’s collaboration with the Faculty of Medicine at Makerere, IDRC was among the first donors to support research activities of a principal researcher who over time turned out to be instrumental for broader changes in the research and teaching culture of his department as well as of the whole faculty. Consulted IDRC officers did by no means claim that IDRC was *responsible* for these broader changes, but felt that IDRC had made a relevant contribution to them by providing early stage support to an individual who was willing and able to take on a leadership role beyond his own research work.

“Writing a proposal is not easy. And if you don’t win you get frustrated and don’t try again – especially if you could use the same time to earn extra money by teaching extra courses. So some professors just settle with teaching.” Researcher at Makerere



Balancing these various competing issues and considerations for selecting prospective researchers continues to be critical in IDRC's work with Makerere. Until now, the Centre has employed both models for identifying partners, and will probably continue to do so. Rather than trying to decide on the one or the other approach to selecting research partners, the main concern for IDRC may be to effectively manage stakeholder expectations, including clear communication regarding the reasons for using a particular way of inviting new research partners to work with the Centre.



One process, **(A)** focuses on the 'big picture' of specific development challenges situated outside the university, i.e. within its broader context. Research is carried out aiming to generate relevant knowledge suitable to address these challenges. While physically situated in the university, primary purpose and intention of the research initiative is not to influence change within the university but changes related to development problems beyond it.

The other process **(B)** relates to ongoing changes and developments within the university. They contribute to shaping the overall enabling environment for research and thus influence the conditions in which research on development

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<sup>90</sup> External donors as well as university internal bodies.

<sup>91</sup> E.g. SIDA/SAREC asked other donors interested in supporting ICT infrastructure development at the university to hold off with their investments until the SIDA supported overall ICT strategy for Makerere was developed. The other donors (e.g. the World Bank) did as requested.

issues is being carried out. These organizational changes can, to some degree, be deliberately influenced and planned, but also include a considerable part of 'chaotic' elements and are object of a multitude of different influencing factors.

While the influence of the enabling environment (B) on research activities (A) appears to be evident, the reverse relationship is not well explored - i.e. the question whether, how, and to what extent carrying out research focused on development problems outside the university can influence and contribute to intra university changes. Interviews with IDRC staff imply the underlying expectation, that the Centre's support to research projects can/will have at least some 'trickle up' effects also on organizational change within the University, but as outlined in this study, such effects appear to be rare, and difficult to predict or plan.

Mere discussions among donors and others on 'who is doing what at Makerere' only touch upon the surface of what kind of change processes different stakeholders are setting out to influence, and do not explore the richness of different conceptualizations of research capacity building that is implied by their approaches. This can limit opportunities for creating and capturing complementary effects, and for identifying potential yet currently untapped synergies between different approaches taken by different donors.

### **Other issues**

During interviews, consulted researchers provided a few more suggestions in relation to perceived weaknesses or gaps in IDRC's current approach. These were:

- Two researchers stated that it would be helpful if IDRC grants would allow for purchasing more (or more expensive) equipment, as especially in some natural sciences the lack of appropriate technical equipment was a major hindrance for conducting up to date and relevant research.
- Two researchers shared the observation that the Centre funded fewer scholarships for Masters and PhD students than in the past. While there were several other funding opportunities available for PhD students, especially the absence of scholarships for Masters programs was seen as a loss to the University and to Uganda.

- One researcher also mentioned that it would be helpful if IDRC's support would include more systematic relationship building between researchers at Makerere and Universities in Canada. In his view, this would have been useful in terms of ensuring sustainable opportunities for professional exchange.<sup>92</sup>

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<sup>92</sup> The researcher mentioned that, for example, NORAD had done a lot of work in this area, bringing researchers at Makerere in contact with universities in Norway.

## 8. Conclusions and Outlook

One key challenge we encountered throughout this case study was the realization that we had set out to explore something that did not formally exist – namely the institutional relationship between IDRC and Makerere University. That such a explicitly or implicitly defined relationship existed and that it could be described in terms of a coherent ‘story’ was one of the implicit assumptions underlying the concept of ‘organizational case study’. This also meant that stating the *absence* of such a relationship would run the risk of being automatically understood as describing a fault or *weakness* of IDRC’s relationship with Makerere. In this chapter we would like to oppose this ‘conclusion by default’ by highlighting some of the strengths of IDRC’s current approach, while also outlining key areas that IDRC may wish to explore in view of further strengthening its collaboration with Makerere.

### **1. IDRC’s overall approach to working with Makerere makes sense given the Centre’s institutional strengths, as well as the specific context of the university.**

While there are a number of areas in which IDRC can further improve its collaboration with Makerere<sup>93</sup>, IDRC’s general focus on supporting individual research projects along thematically defined priorities is very reasonable given a variety of factors related to IDRC itself, as well as to characteristics of Makerere. These include:

- **IDRC does, what it is good (best) at and – in doing so – fills an important niche at Makerere:** The Centre’s core experience and expertise lies in the area of research for development. IDRC staff are highly qualified to assist researchers and teams in their work on thematically specialized areas, and bring them into contact with others working on the same or similar issues. In the current landscape of research capacity building at Makerere, there is no other entity that would provide similar quality and depth of individualized assistance and networking opportunities along thematic lines.
- **IDRC achieves results in accordance with its mission:** The Centre is successful in helping researchers and teams to conduct research that is relevant to development problems, and to disseminate/share research findings with key stakeholders in order to foster the use and application of research based knowledge for policy development and decision-making. While IDRC primarily helps to strengthen the research capacity of individuals and teams, it also contributes to strengthening **selected aspects of the enabling conditions** for

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<sup>93</sup> See #2 below.

research, e.g. by providing project related equipment and reference materials that remain in the respective department.

- IDRC's approach makes sense in the **specific context of a University, and Makerere** in particular. The limited availability of internal University **resources for research** at Makerere makes external support for research initiatives highly relevant. This is especially the case as there is also growing pressure on academic staff to conduct research and publicize. Also, at Makerere, there is growing interest in **cross-disciplinary work**, yet up to now very limited 'corporate experience' in this area and little or no funds to initiate respective projects. IDRC's financial support as well as its advice/mentoring on cross-disciplinary work are thus relevant not only in view of enhancing the experience of individual researchers, but also in view of (indirectly) furthering the University's research priorities. The same applies to the University's (currently mostly rhetorical) commitment to conduct more research that is **relevant to national development problems**.
- Research is among the largely '**loosely coupled**' functions of the University. One indication of this is that individual researchers tend to be relatively independent in determining if and on what topics they wish to engage in research, and that they conduct research relatively independently from their association with a particular department. It also implies that changes at the individual level do not automatically or easily 'trickle up' to affect change at higher organizational levels. As in most Universities, research at Makerere takes place in a project based way and is organized along thematic lines.<sup>94</sup> Several researchers stated that for them thematic networks, i.e. thematically organized groups outside the university were important forums for professional exchange. IDRC's project focused approach **mirrors these existing structures** of 'how research takes place' at the University, and is able to address the specific needs of individual researchers and projects. This includes IDRC's support to researchers to engage in professional **networks**.
- The previous point is supported by the fact that **the present IDRC organizational structure is problem or theme centered**, similar to that of a University. IDRC's own (loosely coupled) structure aligns naturally with building thematically defined networks across organizations, and supporting researchers who are pursuing research on a particular theme. The problem areas IDRC defines are broad enough to encompass variations from country to country and region to region. If IDRC was to seriously focus on

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<sup>94</sup> These thematic lines can span department and faculty boundaries.

institutional/organizational development, it might need to consider some considerable internal restructuring.

- **Others are already supporting the strengthening of the broader enabling environment for research at Makerere:** A number of other donor agencies are supporting issues related to the overall organizational/institutional development of the university (including governance issues, policy development, and strategic planning capacities), as well as to the broader context for higher education and research in Uganda.<sup>95</sup> Most of the donors providing assistance focused on Makerere's organizational development have considerably **larger resources than IDRC** for their work with this one organization. They also tend to have constant or frequent presence on the ground.<sup>96</sup>
- Addressing '**people skills**' requires different strategies and resources than effectively addressing the overall '**enabling conditions**' for research at a University.<sup>97</sup> At present, IDRC's **limited funds appear to achieve 'good value for money'**: Those working with IDRC as well as other donors at Makerere consider the Centre's work as relevant and effective, and as impressive, given IDRC's limited resources (see also sidebar). It is questionable whether the Centre could be similarly effective when using its existing or similarly sized resources also for purposes of broader organizational development, e.g. for systematic help with enhancing strategic planning or management functions at level of individual departments or the University, which would require a specific set of strategies and thus of resources.

"They (IDRC) rather fund two small projects in one topic area than one huge one - as some other donors do -, and make sure that concrete results are achieved in both projects. In the end, I think there is more coming out of the two projects in terms of knowledge and insights than from the one big one." (Researcher)

In summary, it is not our intention to diminish the relevance of the enabling conditions for research, in particular in view of long-term sustainability of local research capacities. It appears however that IDRC is at present not well positioned to engage in institutional development of the university at a large scale. At the same time the Centre is very well positioned to support the building of research capacities in exactly the way it is doing now, namely across thematic, and development problem lines.

Reflections upon possible improvements of the IDRC/Makerere relationship should start with these areas of strength, rather than concluding that the observed absence of a comprehensive agenda for institutional strengthening would 'naturally' imply a major fault in

<sup>95</sup> For example SIDA/SAREC is taking such a country based approach.

<sup>96</sup> E.g. SIDA/SAREC has its own permanently staffed office on the premises of Makerere.

the Centre's approach. The following section does so, and provides some suggestions for areas that IDRC may want to explore in view of further strengthening its future work with Makerere.

### **2. There are a number of areas in which IDRC can further improve its relationship with Makerere.**

Our data did not suggest any major 'gaps' in the types of support IDRC utilizes to help build research capacities. For example, there was no indication that the Centre should generally aim to provide *more* of any particular kind of assistance – such as more networking opportunities, stronger emphasis on applied research, etc. IDRC provides tailored support to individuals rather than employing a fixed approach to capacity building. This makes statements about a unified need for 'more' or 'less' of something questionable in any case. The Centre's individualized approach to supporting researchers is one of its major strengths.

The case study findings imply that the key areas for improving the IDRC/Makerere relationship may lie in the following:

**Making capacity building intentions, progress, and results more explicit:**

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<sup>97</sup> Please see section 3.2 for the distinction between 'people' and 'enabling conditions' as parts of the overall research capacities of a university.



As described earlier in this report, there are already some examples of IDRC officers including reflective processes and questions on capacity development into their work with partners at Makerere. At the same time, the study illustrated that there is a considerable number of important capacity building intentions and results that remain uncaptured. This includes 'meta results', i.e. capacity changes that occur as a result of the overall process of being engaged in a research initiative, as well as changes that occur as a result of longer-term relations between IDRC and individual researchers. Capturing these currently 'silent' aspects of capacity development would be relevant not only in view of better IDRC 'showcasing' its work and fuelling the Centre's internal learning. As a (self) reflective process utilized by researchers and teams it could also play an important role for planning, and monitoring their own ongoing professional development.

#### **Capturing Relevant Data**

For IDRC to develop processes and/or systems suitable to capture comprehensive information on its actual research capacity development work, the Centre needs to revisit the question what categories/dimensions it wants to monitor, and why. Some key issues that will need to be addressed include:

- Can and should data be collected along program lines, and/or in relation to organizational and/or geographical criteria? How will respective data be used? -In data collection and analysis, should IDRC distinguish between 'people abilities' and 'enabling conditions' as proposed in this study?

- If effects at the level of the enabling conditions are largely indirect effects of IDRC's work with individuals, how can these indirect effects be systematically encouraged and captured?

- What relevance does IDRC currently assign to changes in the capacities of individuals in the context of loosely coupled systems that do not easily allow for vertical 'trickle up/down' effects? Does IDRC sufficiently value changes at the individual level?

#### **Supporting and encouraging regular exchange among individuals and teams at Makerere who have worked with IDRC:**

As outlined earlier, researchers described that before this case study brought them together they had not been aware of (all) other IDRC supported projects at Makerere. Those involved found the exchange with other researchers within the same institution interesting and helpful. Encouraging and/or actively assisting such internal exchange can positively influence the existing intra-university discourse on research and can thus contribute to changes of the overall research culture in the university as a whole. IDRC may want to explore whether, and what role the newly established Project Coordination Office could play in this regard, and what, if any, support IDRC could provide to the office and/or individual researchers to initiate such regular exchange.

#### **Encouraging researchers to explore linkages with existing (research) priorities and agendas of Makerere or its departments:**

We described earlier that in various cases such linkages do already exist, yet largely remain implicit, which means that their potential role in supporting existing change initiatives at the university (or its parts) remains untapped. This also applies to potential impacts that research projects and findings can have on researchers' teaching practice and/or curricula used in their department. Encouraging and assisting researchers in exploring such linkages more systematically can help to maximize the effects of IDRC's support beyond the level of individuals.

### **Exploring opportunities for more in depth exchange with other donors supporting Makerere:**

Such exchange would aim at investigating potentials for synergies arising from complementary approaches to building research capacity.<sup>98</sup> We are aware that this might hold challenges in terms of its feasibility, as the question arises whether IDRC would be able to seek in-depth discussion with other donors in all the many organizations that it works with. We still mention it here as one possible area IDRC may wish to explore in relation to the question of how to strengthen its effect on broader organizational change processes at Makerere.

### **Theory Building Beyond Makerere:**

IDRC has, in our view, a potential broader role with regards to theory building on research capacity. The previously observed lack of reflection and discussion about key concepts related to research capacity building is not limited to stakeholders supporting individual organizations such as Makerere. While worldwide many different players engage in activities and programs aiming at supporting research capacity building<sup>99</sup>, exchange and debate about underlying core concepts and relationships is scarce. To our knowledge, there is currently no entity or group that would actively work towards bringing different interested parties together for such reflective processes.

To name only a few topics that would be important to explore and reflect upon at a global level:

- Differences, commonalities, relationships between private and public research institutions;
- Local, national, regional, and global perspectives on research capacity development, and their interplay.
- Differences/commonalities between more tightly coupled research organizations (e.g. research focused NGOs) and loosely coupled ones (e.g. universities);

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<sup>98</sup> Please see chapter 7.

<sup>99</sup> See, for example, Whyte, Anne (2004): Human and Institutional Capacity Building: Landscape Analysis of Donor Trends in International Development.

- The relation of 'people abilities' and 'enabling conditions', and the interplay between strategies aiming to address each of them;
- Research Capacity Building and 'brain drain';
- Academic versus applied/development problem oriented research.

IDRC's role as a research focused organization, and as one with a demonstrated history of (self)-reflection, would be well positioned to play a key role in contributing to or even leading the needed global debate on such issues.



## Appendix I Case Study TORs

### **Strategic Evaluation on Capacity Development: Terms of Reference for Organizational Case Studies**

#### **1. Background**

Over the past several decades, IDRC in line with many development agencies, organizations and donors, has grappled with the issue of how to assess capacity-building initiatives. Many of these agencies have struggled with how to articulate and document the complex array of results of their capacity building activities. Part of this difficulty lies in the fact that there are few systematic reviews of how development agencies construct the concept of capacity building in order that they may systematically look at how this construction leads to results. While there is a great deal of information regarding development projects that have attempted to build capacity, there is a dearth of information regarding how development agencies approach the concept of capacity building.

In response to the above considerations, IDRC's Evaluation Unit (EU) is conducting a strategic evaluation to investigate the Centre's contributions to the development of capacities of those with whom the Centre works. The evaluation aims to provide IDRC's own staff and managers with an intellectual framework and a useful common language to help harness the concept and document the experiences and results that the Centre has accumulated in this domain. Specifically, the strategic evaluation focuses on the processes and results of IDRC support for the development of capacities<sup>100</sup> of its southern partners – what capacities have been enhanced, whose, how, and how effectively.

Assisted by the consultant firm Universal Management Group, during the first three phases of this strategic evaluation, significant progress has been made in (1) defining what IDRC means by `building` or `developing capacities and in sharpening understanding of *how* IDRC supports capacities and with *whom*; (2) developing an initial set of typologies that will assist IDRC staff and partners in conceptualizing, planning, monitoring and evaluating capacity development and (3) elaborating a list of `good practices` that capture some of the

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<sup>100</sup> The international development community tends to use the term "capacity development" rather than "capacity-building". The latter is often seen to mean that capacities are assumed to be absent, or that the process is one of moving from one level of capacity to the next, whereas "capacity development" acknowledges existing capacities, and the political dynamics of change. In this document, both terms are used somewhat interchangeably as "capacity-building" is the term most frequently used in IDRC parlance.

elements of IDRC's support that staff and partners view as being critical to building research organizations and systems.

Initial conceptual work developed in the first phases of the strategic evaluation indicates that "for IDRC staff, capacity building is an essential variable in their approach to development. With a focus on process and on learning-by-doing, and especially on sustaining long-term personal relationships, IDRC is fixed on the value of the individual partner (the researcher or group of researchers) as the key component in capacity building."

IDRC's approach to capacity building was found to be normally instrumental or functional in nature, and focused on tangibles, such as professional competencies, capabilities, and the tools needed to conduct research. These skills included the ability to identify research problems, to design and implement projects, to monitor and evaluate, to achieve good financial management, to link with other researchers and with donors, to publicize results, and so on. For IDRC therefore, capacity building means working with partners to conduct better research in a specific field and that any change that occurs because of this capacity building is at the problem or research area level rather than at the institutional or systems level. Yet, analysis undertaken during the first three phases of the strategic evaluation indicates that IDRC partners are always connected to others within the research problématique or system. As such, at IDRC, capacity development often takes a *systems approach*. In other words, it not only addresses the individual(s) directly involved in the project(s) or program, but also looks at how these individuals are connected to others: other individuals, organizations, and/or networks.

It is clear that it is only through examining the dynamics and evolution of how all the involved parties and communities work together to solve the development challenge that we will better understand how IDRC supports *the capacity to do research-related activities*. In light of these findings, IDRC has a growing interest in understanding how its capacity support (through projects or other activities) at the individual level - individuals and/or teams/groups is able (or not able) to influence change within their organization or network. IDRC would also like to have a deeper understanding of how individuals have the capacity to build or establish relationships and partnerships to influence change through research, and how these partnerships and relationships interact within the various settings (organizations, networks).

With a view to increasing the Centre's ability to capture and track capacity changes in terms of the dynamics and interactions between individuals, organizations and networks and to understanding if and how IDRC contributes to capacity changes, phase 4 of the strategic evaluation will focus on the development of six (6) organizational case studies. Case studies will better ground the findings of phases 1 to 3 of in specific, in-depth experiences.

## 2. Case study scope and methodology

The case study work consists of a purposeful sample of six (6) organizational case studies, chosen on the basis of maximum variation. Maximum variation sampling aims to capture and describe the central themes that cut across a great deal of variation. For small samples, it turns the apparent weakness of heterogeneity into a strength by applying the logic that "any common patterns that emerge from great variation are of particular interest and value in capturing the core experiences and central, shared dimensions of a setting or phenomenon" (Patton, 2002, 234-235). In this strategic evaluation, it is expected that this approach will bring to the fore important learning on IDRC's experiences and abilities for supporting research capacity in different types of organisations and research environments.

Organisational case studies have been chosen in order to capture how, over time, IDRC's sustained support contributes to capacity development at the individual/group, organizational and network levels in the field. The organizational case studies will examine different types of organizations in different geographic regions and with diverse sectoral concentration, which have received significant IDRC support over the last ten years.

All of the case studies selected for this strategic evaluation have been chosen on the basis of being within the top fifty (50) southern-based recipient organizations of IDRC financial support since 1996. Being longitudinal in nature, the case studies will examine the cumulative results of IDRC's significant investment in capacity development support (more than \$2 million in each case) extended through a number of projects or capacity support interventions, by different IDRC programs over a significant period of time. The organizational case studies will examine both the *processes* and the *results* of capacity development with Southern partner organizations.

The case studies will present rich narratives of different capacity development processes.

In IDRC's view of *complete capacity*, there is a need to pay attention to and fund multiple functions to enhance the capacity to do research-related activities, including how to conduct, manage, and communicate research. For IDRC, communicating research goes beyond simple presentation of results; it involves dissemination strategies that include effective approaches so that research can be taken up and used by policymakers, communities, private sector, NGOs, governments, other researchers, etc. to find solutions to their development problems. Analyzing *complete capacity* will bring the evaluator into contact with the multiple IDRC areas that provide capacity development support including Programs Branch, the Evaluation Unit, the Partnership and Business Development Division, Research Information Management Services and the Grants Administration Division

These narratives will be developed through (1) A review of documents including organizational assessments (Institutional Risk Profile), project design documents, monitoring documents (*inter alia*, technical reports, trip reports, correspondence) and project reports; and where they can be located; (2) Interviews with project leaders, project participants and other key informants in the organisations being evaluated; (3) Interviews with relevant IDRC staff from programs, grant administration and financial management (GAD, regional comptrollers) and units involved in capacity development work with the organizations being evaluated (e.g. responsible program staff, senior IDRC managers, Evaluation Unit, Library, PBDD, etc.) Additional research components (e.g. internet or academic literature reviews, focus groups, surveys, etc.) can be added as needed by the case study author to answer the evaluation questions.

The case studies will need to explore what collaborative efforts were established and achieved throughout the projects/interventions being examined and determine whether these collaborations were established to achieve particular development tasks: to do research, to manage research or to communicate/disseminate research to others to use and/or apply in policy and/or practice. Since our understanding of capacity is that it changes and shifts over time, the case studies will also need to illustrate how these collaborative efforts evolved and shifted over time, and if and how the research problem also evolved or shifted over time.

Each of the case studies will cover a range of projects and activities in the same organisation in order to demonstrate the rich diversity of capacity support interventions that are employed by different IDRC programs and units. This diversity will assist IDRC to look back at its collective work with the organisation in question and to evaluate – in its own terms – the Centre's ability to apply what has come to be seen as its own tacit list of "good practices" for capacity development. (See Annex 1)

By collecting data at the lowest level of analysis (the project or capacity development intervention), the case study authors will need to layer or 'nest' these units in order to aggregate their data analysis upwards to come up with findings at the organizational level. The end goal is not to measure the partners' performance *per se*; rather, it is to explore what links can be made between partners' performance and the level/type of capacity development support received from IDRC. In framing the case studies around the five data clusters mentioned below (environment, intention, description, performance and recommendations), findings will test key corporate assumptions and should provide information and insights into *what and how* we are doing under *different working conditions*, *how we understand* the concept of capacity development, *how we can do better*. In all cases, the focus of the analysis should be centred on capacities related to research for development as this is IDRC's mandate.



### **3. Use of organizational case studies**

As a central piece of this strategic evaluation, the case studies will be used by IDRC staff to support the design, implementation, monitoring and evaluation of capacity development projects and activities. The case studies will also be used by IDRC Senior managers to better understand IDRC's particular approach to capacity development, as a key corporate result area.

### **4. Case study data collection areas:**

#### **i) Examination of the research for development context**

- Lead questions:
  - How has/does the overall legal, political, social/cultural and economic environment influence the partner organization's ability to engage in research for development?
  - What have been the factors that have most inhibited or enabled the uptake of capacity support for research?
- Sub-questions:
  - How has/is the organization affected by the administrative/legal environment?(Does it have a clearly defined legal framework? Is it affected by bureaucracy?)
  - Has/is the organization considered influential by others in its external environment?
  - How is the organization affected by the political environment? (stability, corruption, links to government, links to civil society)
  - Does the organization take into account the effect of culture on possibilities for access to and participation in capacity development initiatives? (e.g. religious/ethnic/gender/class customs and biases; nepotism; violence and crime)
  - Does the organization have access to a predictable pool of capable human resources?
  - Does economic policy support the organization's ability to acquire technologies and financial resources for research capacity building?
  - Are there other partnerships have been formed with other donors, researchers and civil society stakeholders? For what purpose?
  - Is there adequate physical and technological infrastructure to enable the partner organization to make the best use of capacity development support?

#### **ii) Intention at the outset of the IDRC-partner organisation relationship**

- Lead questions:

- What were the intentions/expectations of IDRC and the partner organization in terms of capacity development at the outset? How were these intentions/ expectations developed and to be accomplished?
- To what extent were the intentions explicit, logical (i.e., based on a theory of change), coherent, appropriate, and connected to the research context and problematique?
- Sub-questions:
  - What lead IDRC and the partner organization to become involved with each other through the project/activity?
  - What did each one hope to achieve?
  - If appropriate, did these intentions/how did these intentions change over time?
  - If there was an explicit objective to build capacity, how was this determined and formulated? If there was no explicit or implicit objective, why not?
  - Who is/was involved in the building of capacities - individuals, organizations, networks?
  - What is/was the overall understanding of how capacity changes?
  - How was the approach to capacity designed? Was there a set approach or was it a `mixed bag` of approaches?
  - Did it fit with any conception of "complete capacity" - or was *conducting the research* considered good enough?

### **iii) Description of the capacity development intervention(s)**

- Lead questions:
  - What capacity development strategies were employed and how were they implemented? Why were they chosen?
  - How relevant, strategic and effective were the capacity development strategies?
  - How did the strategies evolve over time? Why?
- Sub-questions:
  - What actually happened ? Why did it happen this way?
  - What kinds of capacity were addressed? (e.g. to do research, to manage research, to communicate/disseminate research?) Using what type(s) of interventions?
  - How relevant, appropriate and effective were these interventions to the capacity problem or research problem being addressed?
  - Did/how did the approach to capacity in the project/intervention evolve over time? What results were achieved?

- What outputs were produced by the project/intervention? At what level? (individual, organizational, network?)
- What (if any) collaborations (partnerships, relationships) were achieved by the partner through the project /activity? What roles did people involved play? How did these change over time? Did the relationship with IDRC lead to other/new collaborations with others?

**iv) Performance and continuity of the IDRC-partner organization relationship**

- Lead questions:
  - What are the outcomes of the IDRC support in terms of individual and organizational capacities and the conduct and uptake of the research?
  - What factors helped/hindered the achievement of the outcomes? (related to IDRC and beyond)?
  - How has IDRC been influence by the relationship with the partner organization?
  - What is the ongoing nature of IDRC`s relationship with the partner organization?
- Sub-questions:
  - What capacity changes/outcomes have occurred in the partner organization? (improving/expanding research capacities, generating new knowledge, affecting policy and/or practice? Other?)
  - What changes (if any) have occurred in IDRC as a result of the capacity support relationship between the two?
  - Did\how did the partner organisation`s perception of a research or development problem shift or change over time? To what extent was\were the IDRC intervention(s) a factor in this change of perception?
  - Are there any significant cases in which the building of capacities at the researcher level has led to macro change at the organisational level? Are there any significant cases in which the opposite has been true?
  - Has IDRC capacity development support allowed researchers to take on a leadership role in their organisation?
  - How has/has the building of capacities (individual, organisational, network) contributed to the ability of an IDRC partner organisation to fulfill its mandate?
  - How has/has the partner`s definition of capacity changed over time?

- Did/how did IDRC staff collaborate and consult with one another in their dealings with this organization?
- What other factors affected the capacity development results with this organisation? (internal context of IDRC, IDRC program objectives, other initiatives in place, including those of IDRC as well as other donors).
- Has IDRC capacity building support contributed to effecting systemic change within the research environment? Has it played a role in "influencing established (and often firmly held) paradigms, practices, attitudes and behaviours?" (Adamo) How??

### **v) Recommendations**

- Lead questions:
  - What are the strengths and weaknesses of IDRC's approach to capacity development?
  - How can IDRC improve its capacity support in the future to this organization?
- Sub-questions:
  - How can IDRC best support organizations to respond to challenges and shifts in the external research environment?
  - How can/can IDRC target the capacity needs of organizations - while continuing to support individual researchers and research groups?
  - What changes (if any) should IDRC consider incorporating into its plans for capacity development support to the partner organization?

## **5. Responsibilities and Tasks**

The case study authors will complete the following tasks:

### **Case Study Design and Management:**

- 1) Review of documents including organisational assessments (Institutional Risk Profile), project design documents (Project Approval Documents, correspondence between IDRC and partners), monitoring documents (*inter alia*, technical reports, trip reports, correspondence) and project reports (technical reports and Project Completion Reports); any other documentation relevant to evolution and status of IDRC's organisational relationship on issues of capacity development with the case study organisation.

- 2) Travel to Ottawa and participate in **a two day methodology workshop being organized by IDRC's Evaluation Unit on 3, 4 and 5 July 2007**. The objective of the methodology workshop is two-fold: First, to brief case study authors on IDRC's objectives and rationale for this strategic evaluation and ground the authors' understanding and development of the case studies on the knowledge base of progress (in both conceptual and in practical terms) achieved under the first phases of the evaluation. Second, by addressing any unanswered questions or doubts that the authors might have, the methodology workshop will provide a space for collective author feedback to IDRC on the direction of the case studies and generate a common understanding of IDRC expectations around case study objectives, questions, content and analysis.
- 3) Based on the Terms of Reference (TORs) including the lead questions noted under the data clusters outlined above, the reading of the organizational case study file, and discussions at the methodology workshop, the consultant will develop a case study **work plan (one for each case study)** for submission and approval by IDRC, prior to beginning data collection in the field. The workplan should include a description of the proposed case study methodology and data collection instruments, a work timeline and should flag any outstanding questions requiring attention of clarification from IDRC's Evaluation Unit.

#### **Collection of Data:**

- 4) Compile a list of key case study informants including, but not limited to: project leaders, project participants and other key informants in the organisations being evaluated; relevant IDRC staff from programs branch, grant administration and financial management (in Ottawa and regional comptrollers) and units involved in capacity development work with the organisations being evaluated (e.g. senior IDRC managers, Evaluation Unit, Library, PBDD, etc.); external actors including other donors and stakeholders who have interacted with the case study organisation in a capacity development capacity.
- 5) Using the qualitative and/or quantitative collection methods of preference, collect any additional data (either insider or outside of IDRC), that the case study author deems appropriate and necessary for answering the evaluation questions being posed by IDRC.
- 6) Travel to the field in order to interview key informants (varies according to case study). Interviews should normally move out from those most directly affiliated with the project to those purported to have been affected by or to have used the results in some way. Because there is inherent bias in interviewees to present findings in the best possible light, triangulation of

data sources is crucial. Every effort should be made to ensure that interviews are conducted with representatives of at least three of the main groups involved: project implementers in the organisation, beneficiaries, IDRC and where applicable related project participants (other funded or departmental studies which have been linked to the project). The consultant will normally have an opportunity for follow-up visits for data verification or further data collection where warranted;

- 7) Participate in a validation workshop in a location to be determined (most likely Ottawa), the consultant will make a brief presentation, describing the case and indicating preliminary findings. The consultant may be asked to facilitate the data analysis or may be asked to be an active participant in the process. Following the workshop, the team may determine that it is advantageous to follow up the findings with further data collection in the field, either for the introduction of new respondents or to gather data in areas not yet addressed in the case; and,
- 8) Finalize the case report based on inputs and any further verification carried out, and submit final satisfactory reports in hard copy and electronic format by in accordance with the schedules outlined for each case study. Upon completion of all the case studies, the Evaluation Unit may invite the consultant to participate in a cross comparative case study analysis of the data.

### 6. Timeline

Timeline varies for different case studies due to variations in authors' abilities to travel to the field and/or IDRC regional office abilities to accommodate author visits. Overall, first drafts of the case studies are expected in November 2007. The Evaluation Unit plans to hold a validation workshop with case study authors, IDRC staff, select partners and other interested stakeholders in the first months of 2008. Final drafts are expected by the end of first quarter in 2008.

### **ANNEX 1: Good Practices that Contribute to IDRC's Capacity Development (adapted from DAC, 2003 and IDRC's Corporate Assessment Framework, 2006)**

GOOD PRACTICES THAT CONTRIBUTE TO CAPACITY DEVELOPMENT	MANIFESTED IN IDRC THROUGH:
IDRC characteristics	

Persistence	<ul style="list-style-type: none"> <li>• Sustained mentoring</li> <li>• Continuity, prolonged engagement</li> <li>• Iterative learning process</li> <li>• Aim to build legitimacy, credibility and trust</li> </ul>
Flexibility	<ul style="list-style-type: none"> <li>• Funding arrangements</li> <li>• Location within Canadian government system</li> <li>• Agility to respond to developing country needs</li> </ul>
Resilience	<ul style="list-style-type: none"> <li>• Stay engaged under difficult circumstances</li> <li>• Provide legitimacy, credibility and trust</li> </ul>
Building Partnerships	
Relationships	<ul style="list-style-type: none"> <li>• Networks of individuals and organizations/institutions</li> <li>• Inter-organizational linkages</li> <li>• Face-to-face interactions between/among IDRC staff and researchers</li> <li>• Providing legitimacy and credibility to partners and beneficiaries</li> </ul>
GOOD PRACTICES THAT CONTRIBUTE TO CAPACITY DEVELOPMENT	MANIFESTED IN IDRC THROUGH:
Harnessing Existing Capacities	
Strategic Intelligence	<ul style="list-style-type: none"> <li>• Scan locally and globally, reinvent locally - regional presence to determine existing capacities</li> <li>• Staff knowledge of regions</li> </ul>
Build on existing capacities	<ul style="list-style-type: none"> <li>• Sustained mentoring - provide long-term support beyond "one-off training" sessions</li> <li>• Regional presence - to determine existing capacities</li> <li>• Use local, existing capacities rather than creating parallel systems</li> </ul>
Relevance of the Problem	
Locally-driven agenda	<ul style="list-style-type: none"> <li>• Local ownership</li> <li>• Local and global participation in determining the agenda</li> <li>• Programs continually evolving to meet developing country demands</li> <li>• Bring southern perspectives and voices to the analysis of development challenges</li> <li>• Support devolvement of major research initiatives when appropriate</li> </ul>

## Appendix II List of Documents and Websites Reviewed

### **Capacity Building (at IDRC)**

Bernard, Anne (February 2005): Mapping Capacity Development in IDRC.

Gillespie, Bryon (2005): Theories of Change: Exploring IDRC Understandings about Capacity Development.

Lusthaus, Charles, and Neilson, Stephanie (April 2005): Capacity Building at IDRC: Some Preliminary Thoughts.

Lusthaus, Charles, and Neilson, Stephanie (February 2007): IDRC-supported Capacity Building: Developing a Framework for Capturing Capacity Changes.

Lusthaus, Charles, and Neilson, Stephanie (March 2007): Capacity Building at IDRC. Results and factors supporting results.

Whyte, Anne (May 2004): Human and Institutional Capacity Building: Landscape Analysis of Donor Trends in International Development. Report to the Rockefeller Foundation.

IDRC (2004): IDRC Corporate Strategy and Program Framework, 2005–2010. [http://www.idrc.ca/uploads/user-S/11250758901CSPF\\_2005\\_e.pdf](http://www.idrc.ca/uploads/user-S/11250758901CSPF_2005_e.pdf)

### **Makerere & Uganda Context**

Asiimwe Kihngire, Esther (2007): Financing Higher Education. Case: Makerere University. Slide Presentation.

Court, David (1999): Financing Higher Education in Africa. Makerere, the quiet revolution. World Bank and Rockefeller Foundation.

Musisi, Nakanyike B. (2003a): Uganda. Country case study in: Teferra, Damtew, and Altbach, Philip G.: African Higher Education. An international reference handbook. Bloomington & Indianapolis: Indiana University Press. 2003

Musisi, Nakanyike B. & Muwanga, Nansozi K. (2003b): Makerere University in Transition, 1993–2000. Opportunities and Challenges. Kampala: Makerere Institute of Social Research. <http://www.foundation-partnership.org/pubs/makerere/>

Obwona, Marios, and Ssewanyana, Sarah (2007): Development impact of higher education in Africa: The case of Uganda. Kampala: Economic Policy Research Centre.

Teferra, Damtew, and Altbach, Philip G. (2003): Trends and Perspective in African Higher Education. In: Teferra, D. & Altbach, P. G. African Higher Education. An international reference handbook. Bloomington & Indianapolis: Indiana University Press. 2003.



The National Council for Higher Education (2006): The state of Higher Education and training in Uganda 2005.

Sicherman, Carol (2005): Becoming an African University. Makerere 1922 - 2000. Trenton and Amara: Africa World Press.

Stock, Robert; Leys, Colin; and Shenton, Robert (1990?): A report to IDRC on the State of Social Science Research at Makerere University.

### **IDRC collaboration with Makerere**

IDRC Institutional History Report - Makerere University.

Trip report (Basil Jones, ESARO office), 5-9 August, 2007.

Bernard, Anne & Bradley, David (2006?) SIMA: System Wide Initiative on Malaria and Agriculture. Evaluation report.

### **Websites**

IDRC website [http://www.idrc.ca/en/ev-1-201-1-DO\\_TOPIC.html](http://www.idrc.ca/en/ev-1-201-1-DO_TOPIC.html) & sub-sites related to different program areas and funding initiatives.

International Network for Higher Education in Africa (INHEA). Country Higher Education Profiles: Uganda.

[http://www.bc.edu/bc\\_org/avp/soe/cihe/inhea/profiles/Uganda.htm](http://www.bc.edu/bc_org/avp/soe/cihe/inhea/profiles/Uganda.htm)

Makerere University Website: <http://mak.ac.ug/makerere>

Makerere University Strategic Framework,  
[http://mak.ac.ug/makict/documents/strategic\\_framework](http://mak.ac.ug/makict/documents/strategic_framework)

### **Loosely Coupled Systems**

Orton, J, Douglas, and Weick, Karl E. (1990): Loosely Coupled Systems: A Reconceptualization. In: *The Academy of Management Review*, Vol. 15, No. 2 (Apr. 1990), pp. 203-223.

Weick, Karl E. (2001): Making Sense of the Organization. Malden & Oxford: Blackwell Publishing.

Weick, Karl E. (1976): "Educational Organizations as Loosely Coupled Systems." *Administrative Science Quarterly*. 1976, 21, p. 1-19.

### **Project Documents**

Project # and Title	DOCUMENTS REVIEWED
003018 - 002 Promoting Sexual Health (Uganda) II	Project Approval Document  Technical Report - Promoting Sexual Health in Lyantonde, Rakai District, SW Uganda: A Participatory Action Research Project (PAR) (Nov. 1999)

## Makerere Case Study

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Project # and Title	DOCUMENTS REVIEWED
055432-001 Enhanced Access to Health Services and Information Through ICTs	Project Approval Document Project Proposal: Submitted to IDRC (Feb. 1999) IDRC Memorandum: Request for Extension (22 Dec. 2003) Technical Report (May 2005) Rolling PCRs: Stage 3 Interview (7 Feb. 2006)
102660-003 Building Canadian Support for Global Health Research	Project Approval Document Amendment to Memorandum of Grant Conditions between Makerere University and IDRC (29 March 2006, 11 August 2006 & 12 February 2007) Interim Report (March 2006) Select Correspondence: September 14, 2006; May 16, 2007
102750 - 002 REACH Policy: Regional Capacity for Evidence-based Health Policy	Project Approval Document Memorandum of Grant Conditions between Makerere University and IDRC Draft Press Information (14 December 2004) Frequently asked questions and answers from the initiative so far... (15 December 2004) Amendment to Memorandum of Grant Conditions (6 June 2005) Final Report (3 January 2007) Select Correspondence: December 14, 2004; March 3, 2006; July 12, 2006; July 27, 2006; May 16, 2007 PowerPoint Presentation: Bridging the Worlds of Research and Policy in Kenya, Tanzania and Uganda: The Regional East African Community Health (REACH) Policy Initiative (18 May 2007)
000768-003 Food Systems Under Stress in Africa Phase II	Project Approval Document Project Completion Report (2 different versions)
003129-002 - Regional Program on Social Policy Reform	Project Approval Document Final Technical Report (July 2000)

Project # and Title	DOCUMENTS REVIEWED
100224 - Strengthening Community-based Organizations through ICTs in Uganda	<p>Project Approval Document</p> <p>National Agricultural Research Organization (NARO): A Consultancy Report: End of Term Evaluation of the electronic delivery of agricultural information to rural communities in Uganda project in Mpigi, Wakiso and Luwero districts (Jan. 2003)</p> <p>Project Completion Report</p> <p>MoU between Makerere University and Kalowo Sub-Country Local Government</p> <p>End of Project Evaluation (March 2003)</p> <p>Final Technical Report (18 April 2003)</p> <p>IDRC Memorandum: Request for Extension (11 Dec. 2003)</p> <p>Select Correspondence: April 11, 2005</p>
103517 - Local Governance and ICT Research Network for Africa (LOGIN)	<p>Project Approval Document</p> <p>Project Proposal (November 2005)</p> <p>First Interim Technical Report (January 2007)</p>
003931 - 001 - Legal & Institutional Framework for the Management of Non-Governmental Initiatives in Educational Reforms	<p>Project Approval Document</p>
055405 - Indigenous Food Plants (Uganda)	<p>Project Approval Document</p> <p>Project Completion Report</p> <p>IDRC Memorandum: Request for Extension (7 July 2003)</p>
100317 - Integration of Refugees into the Ugandan Education System	<p>Project Approval Document</p>
101061 - Land Accessibility to Internally Displaced People:	<p>Project Approval Document</p> <p>Interim Report - The First Four Months (Sept. 2002)</p> <p>Trip Report: L. Navarro Report, Trip to Uganda, 7 to 11, July 2003</p> <p>Project Meeting Minutes, L. Navarro &amp; D. Mwesigwa, ECAPAPA Office Entebbe, Uganda (4 May 2005)</p> <p>Correspondence: Addressed to Dr. Navarro on the subject of the PCR Meeting and Final Technical Report (no date)</p> <p>Interview Schedule</p> <p>Project Report (no date)</p>
101142 - Women's World Congress	<p>Project Approval Document</p>

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Project # and Title	DOCUMENTS REVIEWED
102508 - GRACE: Gender Research in Africa into ICTs for Empowerment	<p>Rolling PCRs: Stage 1 Interview (4 July 2005)</p> <p>Memorandum of Grant Conditions</p> <p>Amendment to Memorandum of Grant Conditions (15 June 2006)</p> <p>Memorandum: Change of Recipient after Project Commitment (20 June 2006)</p> <p>GRACE: Brief Update (July 2007)</p> <p>Website posting: Soul Beat Africa - Programme Experiences: GRACE - Africa (posted 26 Oct. 2005, last updated 18 April 2007)</p>
101900 - Information and Educational Needs of People Living with AIDS	Project Approval Document
102155 - Private Sector-led Aquaculture and Malaria in Western Uganda	<p>Project Approval Document</p> <p>Information for Project Appraisal Document</p> <p>A Proposal Submitted to IDRC (May 2004)</p> <p>Memorandum of Grant Conditions: between IDRC and Makerere University</p> <p>Technical Report: Interim Findings Submitted to IDRC (10 August 2005)</p> <p>Final Narrative Report Submitted to IDRC (16 August 2006)</p> <p>Final Narrative Scientific Report Submitted to IDRC (16 August 2006)</p> <p>Proposed Budget (no date)</p> <p>Select Correspondence: June 27, 2007; September 19, 2006; August 11, 2005; April 15, 2005; March 10, 2005; September 29, 2004;</p>
102283-012 - Research Matters in Governance, Equity and Health: The Neglected Child	<p>Project Approval Document</p> <p>Research Support Grant Agreement between Makerere University and IDRC</p> <p>Technical Report: The Neglected Child (September 2006)</p> <p>Select Correspondence: January 13, 2007</p>
102628 - Workshop-Establishment of a Network of Library & Information Science Schools in E.C & S Africa	Project Approval Document
103126 - Uganda Community Wireless Network Project	<p>Project Approval Document (2 versions)</p> <p>Project Proposal (no date)</p> <p>Telecentre Assessment Surveys. Report.</p>

Project # and Title	DOCUMENTS REVIEWED
102512 - Software Incubator Research in Uganda	<p>Project Approval Document (2 versions)</p> <p>Report on Needs Assessment for DICTS Software Incubator (no date)</p> <p>Project Proposal (June 2005)</p> <p>Memorandum of Grant Conditions between Makerere University and IDRC</p> <p>Software Incubator Financial Report (July 2006)</p> <p>Incubator Interim Report (June 2006; September 2006; March 2007)</p>
103675 - Workshop for the Establishment of a Research and Education Network for Uganda	<p>Project Approval Document</p> <p>Working Paper on: Networking among institutions of higher learning in Uganda to achieve optimal ICT deployment and utilization (September 2005)</p> <p>Project Proposal (December 2005)</p>
103114 - Research ICT Africa (RIA) Research Network (Phase 2)	<p>Amendment to Memorandum of Grant Conditions (1 March 2006)</p> <p>Budget</p>

## Appendix III List of Consulted Stakeholders

### IDRC

NAME	ORGANIZATION/POSITION	METHOD OF CONSULTATION
IDRC Ottawa (n=5)		
Renaud DePlaen	Senior Program Specialist	Interview
Jean-Michel Labatut	Senior Program Specialist	Interview
Pat Naidoo	Programme Leader, GEH	Interview
Steve Song	Manager, ICT4D	Interview
Christina Zarowsky	Program Manager, GEH	Interview
IDRC Nairobi (n=13)		
Edith Adera	Senior Program Specialist	Phone Interview
Hilda Basa	Executive Assistant	Email & in person consultation
Connie Freeman	Regional Director	Interview
Francois Gasengayire	Project Coordinator	Focus Group & Email
Gladys Githaiga	Program Administrator ACACIA , TEHIP	Interview
Penda Ireri	Project Analyst	Interview
Basil Jones	Senior Program Specialist - GGP	Interview
Anthony Kariuki	Regional Information Officer	Interview
Catherine Kilelu	Programme Officer	Interview
Lee Kirkham	Regional Controller	Interview
Joseph Mambo	Program Administrator, PLAW	Interview
Anthony Nyong	Senior Program Specialist for Climate Change	Interview
James Wagura	Finance Manager	Interview

### Makerere

Individuals who were the principal investigators/team leaders on a IDRC supported research project are marked with a \*.

NAME	FACULTY/DEPARTMENT	IN RELATION TO WHICH PROJECT (S) ?	METHOD OF CONSULTATION
Researchers and Students involved in IDRC supported Research Projects (n=21)			
Narathius Asingwire*	Head of Department, School of Social Work and Administration	003129, 100224, 103517	Email consultation
Christopher Muhoozi	Department of History and Development	103517	Interview

NAME	FACULTY/DEPARTMENT	IN RELATION TO WHICH PROJECT (S) ?	METHOD OF CONSULTATION
	Studies, but formerly involved in project: Local Governance and ICT Research Network for Africa (LOGIN) →		
Denis Muhangi	Former team member involved in project: Strengthening Community-based Organizations through ICTs in Uganda	100224	Phone Interview
Florence M. Mirembe*	Head of Department of Obstetrics & Gynecology, Mulago Hospital & Director of Adolescent Sexual and Reproductive Health	102660	Interview
Silas Oluka*	Department of Science and Technical Education (DOSATE), School of Education	100317	Interview
Samuel Mugisha*	Institute of Environment & Natural Resources	102155	Group Interview
Nelly Birungi Chris Byaruhanga	Former team members in Private Sector-led Aquaculture and Malaria in Western Uganda project	102155	
F.F. Tusubira*	Directorate for ICT Support (DICTS)	102512 103675 103114	Group Interview
Ali Ndiwalana 2 other staff members of DICTS	(Graduate) students working on various IDRC supported projects in the Directorate for ICT Support (DICTS)	102512 103675 103114	
Dorothy Okello*	Department of Electrical Engineering, Faculty of Technology	103126	Group Interview
Edwin Mugume Frank Kitumba	Community Wireless Resource Centre (CWRC) Project Officer & CWRC Technical Officer	103126	
Lillian Olule Ssanyu Miriam Nalule Peterson Mwesiga Emmanuel Wokulira Miyingo	Students in the Department of Electrical Engineering, Faculty of Technology.  Working on Community Wireless Resource Centre (CWRC) Project	103126	Group Interview
Bernard Kiremire*	Department of Chemistry, Faculty of Science	055405	Interview
Enock Musinguzi	Formerly: Dep. of Chemistry, Faculty of Science	055405	E-mail consultation
Other Stakeholders at Makerere (n=9)			
Samwiri Katunguka	Innovations at Makerere	NA	Interview
Elly Katabira	Deputy Dean, Medical School	NA	Interview

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NAME	FACULTY/DEPARTMENT	IN RELATION TO WHICH PROJECT (S) ?	METHOD OF CONSULTATION
Ben Byambabazi Esther Asiimwe-Kihangire, Peter Mubiru Patrick Kigonvu Paul Teefe Jackie Ayorekire Rosette Mbabazi	University Bursar Grants officer and Public Relations Accountant, Cash management Senior Assistant Bursar (IGF) Senior Assistant Bursar (Projects) Assistant Bursar (Assets) Asst. Grants Officer	NA	



Other Donor Agencies/Organizations<sup>101</sup>

NAME	ORGANIZATION/POSITION	METHOD OF CONSULTATION
Mary Mabweijano	NORAD	Interview
Hanna Akuffo	SIDA/SAREC	Phone Interview
Katherine Namuddu	The Rockefeller Foundation	Phone Interview

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<sup>101</sup> n=3.

## Appendix IV Interview Protocols

### **Questions to Senior/Lead researchers & Members of the Research Team**

- 1) **In what capacity are/were you involved in the IDRC supported research project(s)?**

Possible sub-topics:

What was/is your past/current position at Makerere? What are/were your roles and responsibilities in the IDRC supported research project(s)?

What are your past and current research priorities?

- 2) **What internal or external factors have influenced your / your department's work during the past 5-10 years (or since you started at Makerere)?**

Possible sub-topics:

Internal factors e.g. changes in University leadership, administrative or curriculum reforms, financial situation of University and of departments... External factors e.g. political, economical, socio-cultural developments in Uganda/region.

- 3) **In your understanding, what does it mean for your department or faculty to develop its research capacities?**

Possible sub-topics:

What are research capacities? What changes in your department's/faculty's research capacity have you observed since you started working there? Are there differences between your and other department/faculties?

What changes have occurred at level of the University? What has helped to improve capacities/facilitate? What were challenges?

Does the department/faculty/University have an internal strategy for how to strengthen its research capacities? If so, what does it focus on?

- 4) **In what ways, if any, has/have the IDRC supported project(s) that you were involved in contributed to building research capacities?**

Possible sub-topics:

What, if any, were the main capacity development objectives that you hoped the project would fulfill? To what extent was it successful in doing so?

In what ways was the project interesting/changing for you as a researcher?

In what ways did the project help to enhance research capacities of others?

5) **What is/ has been characteristic about IDRC's support?**

Possible sub-topics:

What did IDRC specifically do to support the project? What, if anything, was distinctive about IDRC's support compared to other externally funded initiatives that you know of?

How, in your view, could an institution such as IDRC help develop research capacity at Makerere in the future?

### **Questions for University Administration**

- 1) **What are your current roles and responsibilities at Makerere University?**

Possible sub-topics:

How does your position relate to research projects carried out by different faculties/departments?

- 2) **What internal or external factors have influenced the University and your department/office during the past 5-10 years (or since you started)?**

Possible sub-topics:

Any changes in decision-making, administrative structures, or financial management?

What processes are in place to support research carried out in different departments/faculties? What are strengths of the current system? What are challenges?

- 3) **In your understanding, what does it mean for a University to 'have research capacity'?**

Possible sub-topics:

How do you assess Makerere's current research capacity? Are there differences between faculties/departments?

What changes in its research capacity have you observed since joining the University? What has helped to improve capacities/facilitate change?

- 4) **What, if anything, is in your view characteristic for Makerere's collaboration with IDRC?**

Possible sub-topics:

How would you characterize IDRC's support to Makerere - when comparing it to support the University has received from other donors? Are there any distinctive characteristics?

What kind of support from and organization such as IDRC would help Makerere to further strengthen its research capacities?

### Questions for IDRC Project Officers

- 1) **What have been your roles and responsibilities in relation to developing research capacities at Makerere?**

Possible sub-topics:

Since when, and in what ways have you been involved with Makerere University?

What is your overall impression of the collaboration with Makerere in terms of its effectiveness, relevance, easiness of working together, etc.

- 2) **What factors in the internal or external contexts have impacted on your work with Makerere in the past 5-10 years (or since you started)?**

Possible sub-topics:

What have been key challenges in your work with Makerere? What have been successes and supportive factors?

E.g. changes in Makerere's leadership, administration, decision-making and planning. Changes in IDRC context. External context: political, economical, socio-cultural.

- 3) **What, if any, changes in research capacities at different levels have you observed since working with Makerere? How did these come about?**

Possible sub-topics:

What changes in research capacities at individual/department, or organizational level have occurred since you have worked with Makerere?

What are strengths/weaknesses of Makerere's current research capacities? What have been key opportunities or challenges impacting on the development of research capacity?

To what extent has capacity development affected larger units than the individuals working on research projects?

- 4) **In what ways has IDRC's specific support contributed to building research capacity?**

Possible sub-topics:

What specific kinds of support did IDRC provide to individuals, research teams, departments, or the University administration?

What were the explicit or implicit objectives related to research capacity development of the projects that you were involved in?

To what extent were they achieved? What other capacity development results were achieved?

- 5) **What questions, if any, related to building research capacity at Universities do you hope that this evaluation/case study may contribute to answering?**

Possible sub-topics:

What questions/issues/challenges in relation to building research capacity do you think need further exploration?

Future/outlook: In your view, what kind of support from and organization such as IDRC can help Makerere and similar organizations to further strengthen their research capacities?

*Based on our working definition of 'capacity', for a University to have research capacity implies a number of core (organizational) abilities, in particular: The ability to conduct research, to manage research processes, to communicate & disseminate research results/processes to the outside world, and to sustain the research capacity of the University.*

### **Questions for Other Donors**

- 1) **What has been the nature of your agency's collaboration with Makerere (in the past 10 years)?**

Possible sub-topics:

Since when has your organization partnered with Makerere University?

What types of support have you provided?

In what ways, if any, has support been aimed at increasing research capacities of the University?

What have been key successes/challenges in your collaboration with Makerere?

- 2) **What factors in the internal or external context of Makerere have impacted on our collaboration?**

Possible sub-topics:

Internal context, e.g. changes in leadership, administration, financial situation.

External context, e.g. political, economical, socio-cultural developments.

To your knowledge, what reputation (for research) does Makerere have among Ugandan Universities? Among (east) African Universities? Globally?

- 3) **What changes, if any, in the University's (or departments'/faculties') research capacities have you observed over time?**

Possible sub-topics:

E.g. changes in ability to conduct research, manage research, disseminate results, sustain capacities. To what extent have capacity changes 'spread' beyond individual researchers or teams?

What do you consider to be the key challenges for strengthening Makerere's research capacities? What are opportunities?

- 4) **What have been key characteristics of your organization's collaboration with IDRC on Makerere University related projects?**

Possible sub-topics:

In what ways and since then have you collaborated with IDRC? What were respective roles and responsibilities?

What were your respective understandings and objectives (explicit and implicit) related to developing research capacities at Makerere? Were there differences in your understanding and approaches?

- 5) **What are key priorities for your or other organization's future work with Makerere?**

Possible sub-topics:

What are key lessons learned from your collaboration with Makerere to date?

To what extent will your organization support strengthening Makerere's research capacities?

Appendix V Case Study Framework

THEMATIC CLUSTER	LEAD QUESTIONS	SUB-QUESTIONS	DATA SOURCES	DATA COLLECTION METHODS
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THEMATIC CLUSTER	LEAD QUESTIONS	SUB-QUESTIONS	DATA SOURCES	DATA COLLECTION METHODS
1. Research for development environment (context)	<p>How has/does the overall legal, political, social/cultural and economic environment influence Makerere University (MU)'s ability to engage in research for development?</p> <p>What have been the factors that have most inhibited or enabled the uptake of capacity support for research in MU?</p>	<p>How has/is MU affected by the administrative/legal environment? Does it have a clearly defined legal framework? Is it affected by bureaucracy?)</p> <p>Is MU considered influential by others in its external environment? What is MU's reputation in view of its research capacities?</p> <p>How is MU affected by the political environment? (stability, corruption, links to government, links to civil society)</p> <p>What have been considerable changes or developments in the research context?</p> <p>Does MU take into account the effect of culture on possibilities for access to and participation in capacity development initiatives? (e.g. religious/ ethnic/ gender/class customs and biases; nepotism; violence and crime)</p> <p>Does the MU have access to a predictable pool of capable human resources?</p> <p>Does economic policy support MU's ability to acquire technologies and financial resources for research capacity building?</p> <p>Have partnerships been formed with other donors, researchers and civil society stakeholders? For what purpose?</p> <p>Is there adequate physical and technological infrastructure to enable the MU to make the best use of capacity development support?</p>	<p>Documents: Background documents on Uganda, and Makerere.</p> <p>People: IDRC Nairobi, Makerere U. staff, Government of Uganda representatives, other donors supporting MU</p> <p>Observation: during site visit.</p>	<p>Document Review</p> <p>Interviews and/or focus groups.</p> <p>Site visit to Kampala.</p>

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THEMATIC CLUSTER	LEAD QUESTIONS	SUB-QUESTIONS	DATA SOURCES	DATA COLLECTION METHODS
2. Intentions at outset of IDRC/Makerere relationship(s)	<p>What were the intentions/expectations of IDRC and Makerere University in terms of capacity development at the outset? How were these intentions/ expectations developed and to be accomplished?</p> <p>To what extent were the intentions explicit, logical (i.e., based on a theory of change), coherent, appropriate, and connected to the research context and problematique?</p>	<p>What lead IDRC and MU to become involved with each other through a specific project/activity?</p> <p>What did each one hope to achieve?</p> <p>If appropriate, did these intentions/how did these intentions change over time?</p> <p>If there was an explicit objective to build capacity, how was this determined and formulated?</p> <p>If there was no explicit or implicit objective, why not? What implicit objectives for CB were assumed?</p> <p>Who is/was involved in the building of capacities - individuals, organizations, networks?</p> <p>What understanding of how capacity changes did/do different stakeholders hold?</p> <p>What interest in the capacity development of different individuals/groups did/do different stakeholders have? What benefits are seen to derive from different forms of capacity development?</p> <p>How was the approach to capacity designed? Was there a set approach or was it a `mixed bag` of approaches?</p> <p>Did the approach fit with any conception of "complete capacity" - or was conducting the research considered good enough?</p>	<p>Documents: Project files and reports.</p> <p>People: IDRC Nairobi, Makerere U. staff involved in projects.</p>	<p>Document Review</p> <p>Interviews and/or focus groups.</p>

THEMATIC CLUSTER	LEAD QUESTIONS	SUB-QUESTIONS	DATA SOURCES	DATA COLLECTION METHODS
3. Description of capacity development intervention(s)	<p>What capacity development strategies were employed and how were they implemented? Why were they chosen?</p> <p>How relevant, strategic and effective were the capacity development strategies?</p> <p>How did the strategies evolve over time? Why?</p>	<p>What actually happened? Why did it happen this way?</p> <p>What kinds of capacity were addressed? (e.g. to do research, to manage research, to communicate/disseminate research?) Using what type(s) of interventions?</p> <p>How do stakeholders understand the link between specific interventions and enhanced capacities? How relevant, appropriate and effective were these interventions</p> <p>Did/how did the approach to capacity in the project/intervention evolve over time?</p> <p>What outputs were produced by the project/intervention? At what level? (individual, organizational, network?)</p> <p>What (if any) collaborations (partnerships, relationships) were achieved by the partner through the project /activity? What roles did people involved play? How did these change over time? Did the relationship with IDRC lead to other/new collaborations with others?</p>	<p>Documents: Project files and reports.</p> <p>People: IDRC Nairobi, Makerere U. staff, project beneficiaries</p>	<p>Document Review</p> <p>Interviews and/or focus groups.</p>

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THEMATIC CLUSTER	LEAD QUESTIONS	SUB-QUESTIONS	DATA SOURCES	DATA COLLECTION METHODS
4. Performance and continuity of the IDRC-Makerere relationship	<p>What are the outcomes of the IDRC support in terms of individual and organizational capacities and the conduct and uptake of the research?</p> <p>What factors helped/hindered the achievement of the outcomes? (related to IDRC and beyond)?</p> <p>How has IDRC been influenced by the relationship with Makerere University?</p> <p>What is the ongoing nature of IDRC's relationship with Makerere University's?</p>	<p>What capacity changes/outcomes have occurred in Makerere? (Improving/expanding research capacities, generating new knowledge, affecting policy and/or practice? Other?)</p> <p>What changes (if any) have occurred in IDRC as a result of the capacity support relationship between the two?</p> <p>Did/how did Makerere University's perception of a research or development problem shift or change over time? To what extent was/were the IDRC intervention(s) a factor in this change of perception?</p> <p>Are there any significant cases in which the building of capacities at the researcher level has led to macro change at the organisational level? Are there any significant cases in which the opposite has been true?</p> <p>Has IDRC capacity development support allowed researchers to take on a leadership role in their organisation?</p> <p>How has/has the building of capacities (individual, organisational, network) contributed to the ability of MU to fulfill its mandate?</p> <p>How (if) has MU's definition of capacity changed over time?</p> <p>Did/how did IDRC staff collaborate and consult with one another in their dealings with MU?</p> <p>What other factors affected the capacity development results with MU?</p> <p>Has IDRC capacity building support contributed to effecting systemic change within the research environment? Has it played a role in "influencing established (and often firmly held) paradigms, practices, attitudes and behaviours?" How?</p>	<p>Documents: Project files and reports. Media articles. MU internal files relating to capacities.</p> <p>People: IDRC Nairobi, Makerere U. staff involved in projects, representatives from other Ugandan universities, Government of Uganda representatives, project beneficiaries.</p> <p>Observations: during site visit in Kampala.</p>	<p>Document Review</p> <p>Interviews and/or focus groups.</p> <p>Site visit to Kampala.</p>

THEMATIC CLUSTER	LEAD QUESTIONS	SUB-QUESTIONS	DATA SOURCES	DATA COLLECTION METHODS
5. Recommendations	<p>What are the strengths and weaknesses of IDRC's approach to capacity development?</p> <p>How can IDRC improve its capacity support to Makerere University in the future?</p>	<p>How can IDRC best support organizations such as Makerere University to respond to challenges and shifts in the external research environment?</p> <p>How can/can IDRC target the capacity needs of organizations - while continuing to support individual researchers and research groups?</p> <p>What changes (if any) should IDRC consider incorporating into its plans for capacity development support to Makerere University?</p>	All of above.	Summary of findings under previous questions.

## Appendix VI List of Reviewed Projects

	PROJECT NUMBER	PROJECT TITLE	AMOUNT (IN CD. \$)	START DATE	ACTUAL/PLANNED COMPLETION
1	000768-003	Food Systems Under Stress in Africa Phase II	76,500	2/15/1996	1/12/1999
2	003018-002	Promoting Sexual Health (Uganda) II	205,247	11/8/1996	5/10/1999
3	003129-002	Regional Program on Social Policy Reform (Eastern and Southern Africa)	276,147	1/1/1998	8/31/2000
4	003931-001	Legal and Institutional Framework for the Management of Non-Governmental Initiatives in Educational Reforms	105,940	2/5/1999	9/30/2001
5	055405-001	Indigenous Food Plants (Uganda)	225,214	6/24/1999	1/31/2004
6	100224	Strengthening Community-based Organizations through ICTs in Uganda	250,900	4/7/2000	3/31/2004
7	100317	Integration of Refugees into the Ugandan Education System	278,500	4/7/2000	3/29/2004
8	055432-001	Enhanced Access to Health Services and Information Through ICTs	452,300	5/10/2000	5/10/2005
9	101061	Land Accessibility to Internally Displaced People: Initiating Agricultural Production for Self Sustainability in Gulu district, Northern Uganda	104,329	10/4/2001	3/31/2004
10	101142	Women's World Congress July 21-26	6,300	3/18/2002	8/7/2003
11	101900	Information and Educational Needs of People Living with AIDS	20,000	4/23/2003	7/14/2004
12	102628	Workshop-Establishment of a Network of Library & Information Science Schools in E.C & S Africa	20,000	6/11/2004	5/5/2005
13	102155	Private Sector-led Aquaculture and Malaria in Western Uganda	370,420	8/10/2004	8/10/2006
14	102660-003	Building Canadian Support for Global Health Research	100,000	9/9/2004	12/9/2006

	PROJECT NUMBER	PROJECT TITLE	AMOUNT (IN CD. \$)	START DATE	ACTUAL/PLANNED COMPLETION
15	102750-002	REACH Policy: Regional Capacity for Evidence-based Health Policy	208,360	11/5/2004	1/5/2007
16	102283-012	Research Matters in Governance, Equity and Health: The Neglected Child	11,000	11/26/2004	10/1/2006
17	102512	Software Incubator Research in Uganda	215,200	10/10/2005	10/10/2007
18	103675	Workshop for the Establishment of a Research and Education Network for Uganda	13,700	4/6/2006	6/30/2006
19	103126	Uganda Community Wireless Network Project	165,800	8/1/2006	8/1/2007
20	103517	Local Governance and ICT Research Network for Africa (LOGIN)	1,335,400*		
21	103114	Research ICT Africa (RIA) Research Network (Phase 2)	2,615,500*	7/9/2005	3/31/2008
22	102508	GRACE: Gender Research in Africa into ICTs for Empowerment	1,458,480	4/1/2005	4/1/2007

\* = For whole network initiative, not only Makerere portion.





## Appendix VII Alignment of Projects with IDRC Funding Research Foci

RESEARCH PROJECT AT MAKERERE SUPPORTED BY IDRC	CORRESPONDING IDRC FUNDING PROGRAMME	IDRC PROGRAM/INITIATIVE OBJECTIVES OR FOCI
<b>Environment and Natural Resource Management (ENRM)</b>		
Promoting Sexual Health (Uganda) II	ECOHEALTH - Ecosystem Approaches to Human Health	Program Initiative supports research on the relationship between all components of an ecosystem to define and assess priority <b>problems that affect the health of people and the sustainability of their ecosystem</b>
Private Sector-led Aquaculture and Malaria in Western Uganda		
Indigenous Food Plants (Uganda)	Sustainable Use of Biodiversity <sup>102</sup>	Focused on Plant genetic resources that are vital to <b>food security, nutrition and primary health care for poor and marginalized communities.</b>
Land Accessibility to Internally Displaced People: Initiating Agricultural Production for Self Sustainability in Gulu district, Northern Uganda	People, Land and Water Program Initiative	Promoting 'the equitable, sustainable and productive <b>utilization of land and water</b> resources by rural women and men in stressed eco-regions of Africa and the Middle East in order to <b>enhance their income, food and water security</b> '.
<b>Information and Communication Technologies for Development (ICT4D)</b>		
Strengthening Community- based Organizations through ICTs in Uganda	ACACIA - Communities and the Information Society in Africa	Communities and the Information Society in Africa Program Initiative increase the capacity of sub-Saharan communities to <b>apply Information and Communication Technologies (ICTs) to their own social and economic development.</b>
Enhanced Access to Health Services and Information Through ICTs		
Local Governance and ICT Research Network for Africa (LOGIN)		
Research ICT Africa (RIA) Research Network (Phase 2)		
GRACE: Gender Research in Africa into ICTs for Empowerment		
Workshop for the Establishment of a Research and Education Network for Uganda	Connect Africa	Connectivity Africa was designed to promote research, development and innovation in the <b>use of Information and Communication Technologies (ICT) for</b>

<sup>102</sup> 1998-2005. The topic area is now addressed through Ecosystem Approaches to Human Health Program Initiative, Rural Poverty and Environment Program Initiative, and the Task Force on Biotechnology and Emerging Technologies.

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RESEARCH PROJECT AT MAKERERE SUPPORTED BY IDRC	CORRESPONDING IDRC FUNDING PROGRAMME	IDRC PROGRAM/INITIATIVE OBJECTIVES OR FOCI
Software Incubator Research in Uganda		<b>progress in Africa</b> , focusing on the areas of education, health and the economy.
Uganda Community Wireless Network Project		
<b>Social and Economic Policy (SEP)</b>		
Building Canadian Support for Global Health Research	Governance, Equity and Health	Objectives: To support applied research that will both strengthen and monitor the <b>capacity of governments to ensure equitable financing and delivery of priority public health and health care services, especially to marginalized and underserved populations.</b>  To support <b>informed and effective citizen demand and participation</b> throughout the policy-to-practice process.  To increase the <b>effectiveness of research-to-policy linkages in promoting the dual goals of health and social equity.</b>
REACH Policy: Regional Capacity for Evidence-based Health Policy		
Research Matters in Governance, Equity and Health: The Neglected Child		

## Appendix VIII Explicit Capacity Building Objectives of Projects

Project # and Title	Project Leader	CAPACITY BUILDING OBJECTIVES
003018 - 002 Promoting Sexual Health (Uganda) II	Prof. Nelson.K. Sewankambo	None  (there are specific objectives for the Makerere portion, but they are not clearly capacity building in nature.)
055432-001 Enhanced Access to Health Services and Information Through ICTs	Prof. Nelson.K. Sewankambo	To focus research on specific health issues such as control of cholera, malaria, HIV/AIDS and the application of telemedicine to address these issues
102660-003 Building Canadian Support for Global Health Research	Prof. Nelson.K. Sewankambo	Objectives for the Makerere portion do not outline capacity building  Umbrella project objectives:  General Objective To support interagency and inter-institutional Canadian collaboration to strengthen global health research capacity, funding, and policy influence, in line with the IDRC and GEH vision of research for development.  To support joint activities of the Global Health Research Initiative, in accordance with the collaboratively developed strategic plan for 2004-05 and with particular emphasis on developing a Canadian initiative on global health research capacity strengthening.
102750 - 002 REACH Policy: Regional Capacity for Evidence-based Health Policy	Prof. Nelson.K. Sewankambo	None  Specific Makerere Project objectives are not capacity building in nature

## Makerere Case Study

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Project # and Title	Project Leader	CAPACITY BUILDING OBJECTIVES
000768-003 Food Systems Under Stress in Africa Phase II		<p>No information available on Makerere Project specifically</p> <p>Umbrella project objectives:</p> <p>To generate and channel knowledge needed to empower individuals, households and communities to cope with problems of food stress and to improve food security in a context of gender equity and sustainable environment in Eastern and Southern Africa</p> <p>To enable researchers, policy makers and the local people jointly to learn from these experiences and derive recommendations for improving policies, organizations and technologies at national, community and household levels.</p> <p>To constitute a network of researchers, policy makers working with and among selected local communities in order to increase awareness on food stress and encourage a sustained collective search for solutions</p>
003129-002 Regional Program on Social Policy Reform	Dr. Narathius Asingwire	<p>No information available on Makerere Project specifically</p> <p>Umbrella project objectives:</p> <p>To strengthen the capacity of researchers and practitioners to analyze policy change and assess policy options</p> <p>To contribute to an understanding of social policy reforms in the region</p> <p>To build a regional perspective on the potential and limitations of current approaches to social policy.</p> <p>To strengthen the capacity of researchers and practitioners to analyze policy change and assess policy options.</p> <p>To support regional exchange of ideas, experiences and research results.</p>

Project # and Title	Project Leader	CAPACITY BUILDING OBJECTIVES
100224 Strengthening Community-based Organizations through ICTs in Uganda	Dr. Narathius Asingwire	<p>Improve access by Community Based Organizations to appropriately packaged information.</p> <p>Disseminate the results of this research to other Community Based Organizations and their members</p> <p>Facilitate exchange of information and lessons among Community Based Organisation's (CBOs) members, between CBOs and between CBOs and other institutions involved in similar developmental activities</p> <p>Strengthen capacity of Community Based Organizations through training, seminars and workshops</p>
103517 Local Governance and ICT Research Network for Africa (LOGIN)	Dr. Narathius Asingwire	<p>Capacity building of researchers and institutions in a relatively new area of research - ICTs as applied to local governance. IDRC will be in a position to help shape the development of the research area including through support for the training of young researchers and the re-skilling of senior researchers anxious to shift into a new area</p> <p>A contribution to conceptual and theoretical frameworks, and the methodological development of overall approaches to the study of e-Government/e-Governance in Africa and beyond</p> <p>The Research Network will reinforce the capacities of local governance institutions and grass-roots communities and in this way have an impact in building the skills of young leaders and ICT professionals and thus provide longer term support to the implementation of ICT and governance projects at the local level</p> <p>Establishment of a pan-African network of researchers on ICTs for local governance. The Network could act as a magnet for a range of actors with an interest in ICT4D, local governance, decentralization and capacity development</p> <p>Global dissemination of research findings (peer-reviewed publications, policy briefs, LOG-IN Africa Website, web newsletter etc) to shape the broader policy framework of ICT for local governance and to inform practice. Policy recommendations will be provided to high-level policy makers</p>

## Makerere Case Study

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Project # and Title	Project Leader	CAPACITY BUILDING OBJECTIVES
003931 - 001 Legal & Institutional Framework for the Management of Non-Governmental Initiatives in Educational Reforms		None No information available on Makerere Project specifically
055405 Indigenous Food Plants (Uganda)	Prof. Bernard Kiremire	none
100317 Integration of Refugees into the Ugandan Education System	Dr. Silas Oluka	none
101061 Land Accessibility to Internally Displaced People:	David Mwesigwa,	none
101142 Women's World Congress	Grace Bantebya-Kyomuhendo	<p>... create momentum for more concerted cross-disciplinary research, teaching and information gathering regarding women and gender issues. Further, it will promote deliberations on the most sound practices for addressing prevalent gender concerns</p> <p>The congress will offer an opportunity for critical reflection on experiences regarding women and gender issues globally and more specifically on the African continent</p> <p>Gender mainstreaming in policies and programs remains a challenge with issues of equality, equity and empowerment not being adequately addressed. The congress will contribute to further understanding of, and reflection on gender equity and equality</p>
102508 GRACE: Gender Research in Africa into ICTs for Empowerment	Grace Bantebya Kyomuhendo	<p>An important focus of the overall project is capacity building. Researchers are being provided with opportunities to develop research capacity as well as capacity to use ICTs effectively. The project made provisions for intensive training and ongoing mentoring and support. It endeavours to integrate the research and the ICT aspects into a holistic capacity building experience for the participants</p> <p>To build qualitative research capacity in the network</p>

Project # and Title	Project Leader	CAPACITY BUILDING OBJECTIVES
101900 Information and Educational Needs of People Living with AIDS		none
102155 Private Sector-led Aquaculture and Malaria in Western Uganda	Samuel Mugisha	To build the capacity of the research team to address health and environment issues (in relation to malaria) from a trans-disciplinary perspective rather than from a sectoral one, favour linkages between researchers and other key stakeholders (communities, policy makers and civil society organizations)  Foster the development of national expertise on ecosystem approaches to human health.
102283-012 Research Matters in Governance, Equity and Health: The Neglected Child	George Kivumbi	Makerere objective is to produce a movie.  Umbrella project objectives:  To enable research teams and research users to interact more effectively in order to increase the applicability and utilization of GEH research at national, international and global levels  General Objective To increase policy dialogue and promote policy change and implementation towards a GEH vision, through increasing the policy and practice applicability and utilization of research.  To support targeted and problem-oriented transfer of GEH and related evidence to policy makers and other research users at country, regional and global levels, both proactively and in response to demand
102628 Workshop- Establishment of a Network of Library & Information Science Schools in E.C & S Africa	Professor Isaac M. N. Kigogo-Bukenya	Establish and develop a regional electronic network of LIS education institutions in East, Central and Southern Africa  Enhancing the teaching, learning, research, publishing and service capabilities of LIS education institutions, through bi-lateral and multi-lateral co-operative initiatives, in the context of regional and global networked information environment
103126 Uganda Community Wireless Network Project	Dorothy Okello	To document and share the results widely  To build capacity, among students at the Electrical Engineering department and the technical staff at the Telecentres, in the design, installation and maintenance of community wireless networks including bandwidth management and efficient traffic provisioning

## Makerere Case Study

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Project # and Title	Project Leader	CAPACITY BUILDING OBJECTIVES
102512 Software Incubator Research in Uganda	Dr. F. F. Tsubira,	General Objective The overall objective is to nurture and develop local capacity for software development by designing applications for both the business and development sectors in Uganda. This is aimed at addressing information and knowledge needs of industry and rural communities, and creating the missing link between ICTs and development/poverty reduction.
103675 Workshop for the Establishment of a Research and Education Network for Uganda	Dr. F. F. Tsubira,	The general objective of this workshop is to bring together stakeholders from various partner institutions in Uganda to develop a collaborative framework for establishing a Research and Education Network for Uganda.



Project # and Title	Project Leader	CAPACITY BUILDING OBJECTIVES
103114 Research ICT Africa (RIA) Research Network (Phase 2)	Dr. F. F. Tusubira,	<p>to support the conducting, co-ordination and dissemination of research at African research centres into the broad nexus of social, economic, gender and developmental policy issues surrounding information and communication technologies in Africa, including ICT infrastructure development, policy and regulation</p> <p>to build the research capacity and body of indigenous knowledge required for effective and appropriate policy formulation and regulation throughout Africa, with due attention to encouraging focus on gender diversity in the research team</p> <p>to take measures to mainstream gender in the research agenda and outputs</p> <p>To provide the research base required to establish indigenous specialized ICT programmes at post-graduate level that are critical to the development of knowledge societies. In collaboration with the African training network, NetTel, during Phase 1 a Master of Management in ICT Policy and Regulation has been developing and during Phase 2 the academic development focus will shift to the PhD research programme</p> <p><b>Networks:</b></p> <p>to continue the activation of the network by collectively developing appropriate research agendas that are responsive to national, regional and continental needs and by providing a repository of information for further research and policy formulation;</p> <p>to develop linkages among African researchers in the area of ICT policy and between them and international research networks</p> <p>to provide for the expansion of the network into more francophone West African countries and into North Africa</p>

## Appendix IX Project Outputs

Project # and Title	DOCUMENTED OUTPUTS	
	Planned	Actual
003018 Promoting Sexual Health (Uganda) II	(PAR report) to develop HIV/AIDS Prevention and Coping Resources; to develop PACK-ETS (Packages of Ethnographic Information - represented in material, textual, dramatic, or visual formats)	Development of PACK-ETS (Packages of Ethnographic Information - represented in material, textual, dramatic, or visual formats)  Feedback sessions, focus group discussion, drama (educational plays, songs, poems), workshops, role-plays, simulation games, picture codes, participant observation and question-answer sessions; training for SENGAS (sex counselors); workshops, conferences; seminar; project staff trained in software use  (Technical Report, Nov. 1999)
055432-001 Enhanced Access to Health Services and Information Through ICTs	(Project overview, feb. 1999): set-up a functioning telemedicine <b>infrastructure</b> at Mulago and Butabika Hospitals equipped to provide and support telemedicine services - ex. LAN & internet; a system of healthcare delivery; upgrade current Healthnet services; a system of run <b>demonstrations</b> on the use of Internet-based video conferencing; seminars; workshops; training; on-line discussions facilitated/training; print materials; radio & TV; feasibility study; reports and publications	Sensitization workshops; radio programs developed and broadcasted; training; set up Telemedicine infrastructure; Multi-Media content developed on ARV therapy and tape worms; baseline, interim and end-term evaluation; (PCR):  (Tech Report, May 2005): baseline survey; many presentations at professional seminars and conferences; equipment installed and training given; CD-Rom of all 14 projects completed;
102660-003 Building Canadian Support for Global Health Research	(PAR): surveillance system to monitor maternal deaths  final technical & financial reports  produce a video on the project	Structured questionnaire; interview guide developed.  (Interim Report, March 2006):

Project # and Title	DOCUMENTED OUTPUTS	
	Planned	Actual
102750  REACH Policy: Regional Capacity for Evidence-based Health Policy		Set of country meeting reports; set of 4 research-to-policy case studies; report on institutional capacities, mandates, assessment of strengths and weaknesses. Proposal for a new institution/institutional mechanism or instrument; consultancy report on institutional prospects; workshops; evaluation; consultative meetings in each country.  (Final report, Jan. 2007)
000768-003  Food Systems Under Stress in Africa Phase II	(PCR): 2 <sup>nd</sup> FSUS (Food Systems Under Stress) Workshop - to prepare research mechanisms	A film (TV documentary, "What's Eating Africa", 2 <sup>nd</sup> FSUS Workshop, publication (Survival Strategies in Rural Zimbabwe: the role of assets, indigenous knowledge and organizations); pilot projects  (PCR):
003129-002  Regional Program on Social Policy Reform	(PAR): Regional capacity-building workshops for researchers, and dissemination activities; research reports; methodologies for NGO capacity-building	Draft and final technical <b>reports; workshop</b> ; draft Synthesis Report; IDRC purchased a <b>fax machine and a computer</b> for the Coordinating Department  (PCR): multiple <b>articles</b> making up a special issue journal with a synthesis article by project leader; (Tech Report)

## Makerere Case Study

Project # and Title	DOCUMENTED OUTPUTS	
	Planned	Actual
100224 Strengthening Community-based Organizations through ICTs in Uganda	(PAR): develop a <b>software</b> specifically designed for the management of CBOs; <b>training</b> for ICT skills; <b>baseline survey</b> ; 2 CBOs <b>equipped with ICT facilities</b> ; <b>reports</b> ; ICT resources made available to community members	Needs assessment; workshops (ToT); seminars; training; updating info-packages; radio programmes; video, TV; Q&A service; outreach activities; develop info inventory; repackage workshops; develop databases, directories, CR-ROMs; website; documentation; print materials (leaflets, posters, training manuals); market info surveillance; business model established; facilitate access to telecenters (but I don't think they maintain them). (Consultancy Report):  Procurement and installation of ICT Facilities: 5 computer sets, 5 UPS, 3 printers, 2 fax machines, 2 photocopiers, 2 over-head projectors, 2 telephone lines at each site, 2 TV screens, 2 video decks, 2 video cameras, 2 still cameras, 1 digital camera; study visits to other Telecentres; brochures. (End of project evaluation):

Project # and Title	DOCUMENTED OUTPUTS	
	Planned	Actual
103517  Local Governance and ICT Research Network for Africa (LOGIN)	<p>(PAR): a modular 'outcome assessment framework'; research findings; national and regional guidelines; an implementation 'Roadmap'; methodology workshop; global dissemination of research findings (peer-reviewed publications, policy briefs, website, web newsletter)</p> <p>(Proposal): <b>Key Events</b> The key events for the LOG-IN Africa lifecycle will be: 1) "Kick-off" of the LOG-IN Africa Network and launch of the "Virtual Research Platform"; 2) 1<sup>st</sup> e-Discussion Forum on Assessment Methodology; 3) LOG-IN Africa Methodological Workshop; 4) Launch of the draft report on "State of ICTs and Local Governance in African countries and Preliminary findings of the LOG-IN Africa Research Network"; 5) 2<sup>nd</sup> e-Discussion Forum on Guidelines for implementation of ICTs for Local Governance Projects in Africa; 6) LOG-IN Africa Mid-Term Review Workshop; 7) LOG-IN Africa - Final Workshop; 8) Launch of the Publication on "LOG-IN Africa: Research Results and Road Map for e-Local Governance in Africa".</p> <p><b>Key Deliverables</b> The main deliverables produced by LOG-IN Africa will be: 1) A LOG-IN Africa Web Site and "Virtual Research Platform"; 2) A Report and Analysis of the 1<sup>st</sup> e-Discussion Forum on Assessment Methodology; 3) Report of the LOG-IN Africa Methodological Workshop; 4) A publication on "The State of ICTs and Local Governance in African countries and Preliminary findings of the LOG-IN Africa Research Network"; 5) A Report of the 2<sup>nd</sup> e-Discussion Forum on Guidelines for Implementation of ICTs for Local Governance Projects in Africa; 6) A Report of the LOG-IN Africa Mid-Term Review Workshop; 7) A Report of the LOG-IN Africa - Final Workshop; 8) A Publication on "LOG-IN Africa: Research results and Road Map for e-Local Governance in Africa". 9) Progress Reports (every six months). 10) Final Report (at the end of the Project).</p>	<p>Plans of actions for all National Research Teams; Integrative "outcome assessment" framework and set of methods for Network level data collection and analysis; Report and Analysis of the 1<sup>st</sup> e-Discussion Forum on Assessment Methodology; Report of the LOG-IN Africa Methodological Workshop; Pan-African Local E-Governance conceptual and methodological framework; First progress report of National Research Projects, containing customized conceptual and methodological framework; Training on project monitoring and evaluation (Senegal)</p> <p>(Interim Technical Report, Jan 2007):</p>

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Project # and Title	DOCUMENTED OUTPUTS	
	Planned	Actual
003931-001 Legal & Institutional Framework for the Management of Non-Governmental Initiatives in Educational Reforms	none	none
055405 Indigenous Food Plants (Uganda)	(PAR): <b>documentation</b> of the nutritional, medicinal and other values of traditional food plants in order to promote their conservation and consumption	(PCR): <b>surveys; questionnaire; documentation:</b> scientific identification of indigenous food plants, photos; <b>demonstration gardens</b> set up; <b>seeds distributed</b> to farmers; <b>seeds planted</b> at KARI; <b>workshop; radio programs; documentary film;</b> multiple <b>publications;</b> 1500 <b>pamphlets</b> in local language; <b>sensitization</b> of schools and school authorities
100317 Integration of Refugees into the Ugandan Education System	(PAR): collect and report baseline quantitative data; contributions to teaching materials; publications; seminars	
101061 Land Accessibility to Internally Displaced People:	(PAR): 2 workshops; meetings with policy and decision makers and stakeholders in Gulu; production and presentation of technical papers and briefs; informal consultation and attendance of conferences; concrete, well-informed plans to enable displaced people in Gulu to amicably access land resources and engage in agricultural production	(PCR): 2 project reports; final technical report; project result dissemination workshop; workshops  (First four months, sept. 2002): questionnaires; interview guides; trained 6 research assistants;  (Project report): project proposal development workshop; an inventory of displaced people's in camps in Gulu; household survey; observation checklists;
101142 Women's World Congress	(PAR): 8 <sup>th</sup> International Interdisciplinary <b>Congress</b> on Women; congress <b>report</b> and distribution	

Project # and Title	DOCUMENTED OUTPUTS	
	Planned	Actual
102508 GRACE: Gender Research in Africa into ICTs for Empowerment		Interim and final technical reports  (July 2007, GRACE update): GRACE book with chapters from projects; Capacity Building Workshops (3 to date); Websites hosting GRACE info; Conference submissions; update in the UNESCO IICBA Newsletter  Lessons learnt; policy briefs;
101900 Information and Educational Needs of People Living with AIDS	(PAR): <b>design a training program</b> based on the reality of those living with AIDS; semi-structured questionnaire designed for a community survey	
102155 Private Sector-led Aquaculture and Malaria in Western Uganda	(PCR): a model of the relationship between malaria and fish farming; workshop in planning stages on EcoHealth; data integrated in a GIS (what is this?); project evaluation; several MSc and PhD  (Proposal, May 2004): customized database management system; participatory monitoring and evaluation workshop; report on findings; published research findings  (final narrative report to IDRC, Aug. 2006): final workshop to analyse and interpret findings	Two technical reports (scientific and narrative);  (Final narrative report to IDRC, Aug. 2006): baseline study; maps of land-use types; inception workshop (feb. 2005); entomological, parasitological, nutritional and aquatic surveys; questionnaire; 2 policy briefs; poster; CD of reports; articles in journals  Monitoring and evaluation workshops held.
102283-012 Research Matters in Governance, Equity and Health: The Neglected Child	(PAR): consolidate evidence  (Grant Agreement): 40 VHS copies; 10 VCDs; 30 DVDs; 2-page media friendly report; promotional piece for the film; link on the CHDC website	(Technical Report, Sept. 2006): film: The Neglected Child - HIV/AIDs
102628 Workshop-Establishment of a Network of Library & Information Science Schools in E.C & S Africa	(PAR): workshop; establish a strategy for an effective and efficient regional network	

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	Planned	Actual
103126 Uganda Community Wireless Network Project	(PAD): establish a Community Wireless Resource Centre (CWRC); The project is expected to generate concrete results: a) design and implement 6 community wireless networks in 3 regions. B) develop business models for each network. C) integrate new training into existing courses. D) create new course. E) train 75 telecentre staff	
102512 Software Incubator Research in Uganda	(PAR): develop a software incubator; software products (5-10 in 2 years)  (Proposal, June 2005): base-line survey on the software industry; stakeholder's forum; develop a recruitment plan and framework for supervising student programmers; strategy for marketing software products; documentation (reports/journals); creation of incubator center; purchase for the projects: low bandwidth databases, 6 computers, 1 laptop, 1 printer, 1 server, furniture, books and journals for a library, software	(Interim Report, June 2006): incubator website developed; furniture procured;  (Interim Report, Sept 2006): 20 books on software development bought; whiteboard; development for a web-based resource tracking system for AGRISERV; database for program and course comparison; registration system (IRIS);  (Technical Report, March 2007): final report on Needs Assessment (baseline survey); mobile payment solution using Airtime; Knowledge management system; student entrepreneurial workshop; SMS backup solution; study visit to MICTI Business Incubator; Supporting tools developed (info reception tool, skills management database, online project management system)
103675 Workshop for the Establishment of a Research and Education Network for Uganda	(PAR): Workshop; develop a framework for establishing a Research and Education Network in Uganda;  (proposal): Signed Memorandum of Understanding; approved Action plan	Working paper
103114 Research ICT Africa (RIA) Research Network (Phase 2)	(Amendment to Grant Conditions): research; technical progress reports; final technical report	